

# **LIST OF REFERENCES CITED BY APPLICANT** (Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

## **U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	PAGES, COLUMNS, LINES, WHERE RELEVANT PASSAGES OR RELEVANT FIGURES APPEAR
	A31	5,947,646	07/19/99	Srivastava et al.	
	A32	5,968,526	10/19/99	Garman et al.	
	A33	5,997,873	12/7/99	Srivastava et al.	
	A34	6,007,821	12/28/99	Srivastava et al.	
	A35	6,027,731	2/22/2000	Pauza	
	A36	6,030,618	02/29/00	Srivastava	
	A37	6,033,561	3/7/2000	Schoendorfer	
	A38	6,048,530	4/11/00	Srivastava	
	A39	6,136,315	10/24/00	Srivastava	
	A40	6,156,311	12/05/00	Strickland et al.	
	A42	6,162,436	12/19/00	Srivastava	
	A42	6,168,793	1/2/01	Srivastava et al.	
	A43	6,312,711	11/6/01	Duchateau et al.	
	A44	6,333,311	12/25/2001	Nuijens et al.	
	A45	6,338,945	01/15/02	Nicolette	
	A46	6,403,092	6/11/02	Pizzo et al.	
	A47	6,433,141	8/13/02	Wallen et al.	
	A48	6,689,363	02/10/04	Sette et al.	
	A49	6,709,672	3/23/04	Henot et al.	
	A50	6,713,608	3/30/04	Wallen et al.	
	A51	6,730,302	5/4/04	Fujihara et al.	
	A52	6,797,480	9/28/04	Srivastava	
	A53	6,986,389	01/06	Li	
	A54	7,176,515	03/06/07	Srivastava et al.	
	A55	7,179,462	02/20/07	Srivastava et al.	
	A56	7,132,109	11/07/06	Srivastava	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO. <b>8449-178-999</b>	APPLICATION NO. <b>09/873,403</b>
	APPLICANT <b>Srivastava et al.</b>	
	FILING DATE <b>June 4, 2001</b>	ART UNIT <b>1643</b>

### FOREIGN PATENT DOCUMENTS

	B01	DE 196 02 985 A1	1/27/96	Germany		
	B02	GB 2 251 186A	7/1/92	United Kingdom		
	B03	WO 00/03003	1/20/00	University of Nottingham		
	B04	WO 00/10597	03/02/00	Immunology Limited		
	B05	WO 00/34494	6/15/00	The Government of the United States of America represented by the Secretary, Dept. of Health and Human Services		
	B06	WO 00/38760	7/6/2000	Occulogix Corp		
	B07	WO 00/46246	8/10/00	The General Hospital Corp.		
	B08	WO 00/54801	9/21/2000	Entremed Inc		
	B09	WO 01/91787	6/12/01	University of Connecticut Health Center		
	B10	WO 01/92474	12/06/01	University of Connecticut Health Center		
	B11	WO 02/07755	1/3/2002	The General Hospital Corporation		
	B12	WO 02/11669	02/14/02	Antigenics, LLC		
	B13	WO 02/15930	2/28/02	Duke University		
	B14	WO 02/30434	4/18/02	University of Connecticut Health Center		
	B15	WO 02/32923	4/25/02	University of Connecticut Health Center		
	B16	WO 02/34205	5/2/02	University of Connecticut Health Center		
	B17	WO 03/015712	02/27/03	University of Connecticut Health Center		
	B18	WO 03/090686	11/06/03	University of Connecticut Health Center		
	B19	WO 03/092624	11/13/03	University of Connecticut Health Center		
	B20	WO 04/035602	04/29/04	University of Connecticut Health Center		
	B21	WO 04/075636	09/10/04	University of Connecticut Health Center		
	B22	WO 04/74454	09/02/04	University of Connecticut Health Center		
	B23	WO 05/120558	12/22/05	University of Connecticut Health Center		
	B24	WO 89/12455	12/28/89	Whitehead Institute for Biomedical Research Medical Research Council		

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO. <b>8449-178-999</b>	APPLICATION NO. <b>09/873,403</b>
	APPLICANT <b>Srivastava et al.</b>	
	FILING DATE <b>June 4, 2001</b>	ART UNIT <b>1643</b>

### FOREIGN PATENT DOCUMENTS

	B25	WO 90/02564	3/22/90	Codon Dragon		
	B26	WO 91/15572	10/17/91	The Wellcome Foundation Limited		
	B27	WO 92/01717	2/6/92	Burnie, James et al.		
	B28	WO 92/08484	5/29/92	University College London		
	B29	WO 92/08488	5/29/92	University College London		
	B30	WO 93/14118	7/22/93	Medical Research Council		
	B31	WO 93/17712	9/16/93	Biocine Sclavo Spa Rappuoli		
	B32	WO 93/18146	9/16/93	Institut National de la Sante et de la recherche medicale		
	B33	WO 93/18147	9/16/93	Institute Nazionale per lo studio e la cura dei tumori fondazione giovanni pascale		
	B34	WO 93/18150	9/16/93	Biocine S.P.A.		
	B35	WO 93/21529	10/28/93	Duke University		
	B36	WO 93/24136	12/9/93	Terman, David S.		
	B37	WO 94/03208	2/17/94	Yeda Research and Development Company, Ltd		
	B38	WO 94/04676	3/3/94	The Victoria University of Manchester		
	B39	WO 94/11513	5/26/94	Medical Research Council Colston		
	B40	WO 94/14471	7/7/1994	Washington University		
	B41	WO 94/29459	12/22/94	Whitehead Institute for Biomedical Research		
	B42	WO 97/04794	2/13/97	The American National Red Cross – The General Hospital Corporation		
	B43	WO 97/06685	2/27/97	Sloan-Kettering Institute for Cancer Research		
	B44	WO 97/06821	2/27/97	Sloan-Kettering Institute for Cancer Research		
	B45	WO 97/06828	2/27/97	Sloan-Kettering Institute for Cancer Research		
	B46	WO 97/10001	03/20/97	Fordham University		
	B47	WO 97/26910	7/31/97	Max-delbruck medizen milleck		
	B48	WO 98/42752	10/01/98	Brigham and Woman's Hospital Inc.		
	B49	WO 98/46739	7/23/97	Juridicial Foundation the Chemo-Sero-therapeutic Research Institute		
	B50	WO 99/29834	06/17/99	Fordham University		

**EXAMINER****DATE CONSIDERED**

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

LIST OF REFERENCES CITED BY APPLICANT (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT	
	Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C08	ABBAS et al., 1991, Cellular and Molecular Immunology, W.B. Saunders Co., Philadelphia (Chapters 15-18)	
	C09	AGOSTONI et al., 1994, "Activation of complement and kinin systems after thrombolytic therapy in patients with acute myocardial infarction. A comparison between streptokinase and recombinant tissue-type plasminogen activator." Circulation. 90(6):2666-70.	
	C10	ALDOVINI et al., 1992, "The New Vaccines", <i>Technology Review</i> pp. 24-31	
	C11	AMATO et al., 1999, "Active Specific Immunotherapy in Patients with Renal Cell Carcinoma (RCC) Using Autologous Tumor Derived Heat Shock Protein-Peptide Complex-96 (HSPP-96) Vaccine" <i>American Society Clinical Oncology Meeting</i> , abstract 1278	
	C12	ANDERSEN, P. 1994, "Effective vaccination of mice against Mycobacterium tuberculosis infection with a soluble mixture of secreted mycobacterial proteins," <i>Infect. Immun.</i> 62(6):2536-44	
	C13	ANDUS et al., Synthesis of alpha 2-macroglobulin in rat hepatocytes and in a cell-free system. <i>FEBS Lett.</i> 1983 Jan 10;151(1):10-14	
	C14	ANTHONY et al., 1999, "Priming of CD8+ CTL effector cells in mice by immunization with a stress protein-influenza virus nucleoprotein fusion molecule," <i>Vaccine</i> 17(4):373-83	
	C15	BANCHEREAU et al., 1998, "Dendritic cells and the control of immunity," <i>Nature</i> 392:245-252	
	C16	BARRIOS et al., 1992, "Mycobacterial heat-shock proteins as carrier molecules. II: The use of the 70-kDa mycobacterial heat-shock protein as carrier for conjugated vaccines can circumvent the need for adjuvants and Bacillus Calmette Guérin priming," <i>Eur. J. Immunol.</i> 22(6):1365-72	
	C17	BARRIOS et al., 1994, "Heat shock proteins as carrier molecules: in vivo helper effect mediated by Escherichia coli GroEL and Dna K proteins requires cross-linking with antigen," <i>Clin. Exp. Immunol.</i> 98(2):229-233	
	C18	BARRIOS et al., 1994, "Specificity of antibodies induced after immunization of mice with the mycobacterial heat shock protein of 65 kD." <i>Clin Exp Immunol.</i> 98(2):224-8	
	C19	BARTLETT, 1972 "Effect Of Host Immunity On The Antigenic Strength Of Primary Tumors." <i>J. Natl. Cancer Inst.</i> 49:493-504	
	C20	BASOMBRIO (1970) "Search for common antigenicities among twenty-five sarcomas induced by methylcholanthrene", <i>The Institute for Cancer Research</i> 30:2458-2462	
	C21	BASU and SRIVASTAVA, 1999, "Calreticulin, a peptide-binding chaperone of the endoplasmic reticulum, elicits tumor- and peptide-specific immunity" <i>J. Exp. Med.</i> 189:797-802	
	C22	BASU et al., 2000, "Necrotic but not apoptotic cell death releases heat shock proteins, which deliver a partial maturation signal to dendritic cells and activate the NF-kappa B pathway," <i>Int. Immunol.</i> 12(11):1539-46	
	C23	BASU et al., 2001, "CD91 is a common receptor for heat shock proteins gp96, hsp90, hsp70, and calreticulin," <i>Immunity</i> 14:303-313	
	C24	BEDNAR et al., 1997, "Activation of complement by tissue plasminogen activator, but not acute cerebral ischemia, in a rabbit model of thromboembolic stroke." <i>J. Neurosurg.</i> 86(1):139-42.	
	C25	BELLONE et al., 1999, "Cancer Immunotherapy: synthetic and natural peptides in balance," <i>Immunology Today</i> 20(10): 457-462	
	C26	BEVERLY, 1988, "Tumour Immunology." In: <i>Immunology</i> , 3rd Edition, Roitt, Ed., Mosby, London, pp. 17.1-17.12	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

## LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C27	BINDER and Srivastava, 2004, "Essential role of CD91 in re-presentation of gp96-chaperoned peptides," Proc. Natl. Acad. Sci. U.S.A. 101:6128-6133	
	C28	BINDER et al., 2000, "CD91: a receptor for heat shock protein gp96," Nature Immunol. 1(2):151-155	
	C29	BINDER et al., 2001, "Heat shock protein-chaperoned peptides but not free peptides introduced into the cytosol are presented efficiently by major histocompatibility complex I molecules," J. Biol. Chem. 276(20): 17163-17171	
	C30	BIRKENMEIER G., 2001, "Targetting the Proteinase Inhibitor and Immune Modulatory Function of Human $\alpha$ 2-Macroglobulin." Mod. Asp. Immunobiol. 2(1):32-36	
	C31	BLACHERE and SRIVASTAVA (1993) "Immunization with GP96 heat shock proteins isolated from tumors or influenza virus infected cells elicits MHC-restricted, antigen-specific cytotoxic T lymphocytes against the corresponding cells", J. Cellular Biochem. Keystone Symposia, 17D: pp. 124, Abstract NZ 502	
	C32	BLACHERE et al., 1993, "Heat Shock Protein Vaccines Against Cancer," Journal of Immunotherapy 14:352-356	
	C33	BLANDER et al., 1993, "Major cytoplasmic membrane protein of Legionella pneumophila, a genus common antigen and member of the hsp 60 family of heat shock proteins, induces protective immunity in a guinea pig model of Legionnaires' disease," J. Clin. Invest. 91(2):717-723	
	C34	BODEY et al., 2000, Anticancer Res 20:2665-2676 Abs	
	C35	BOSCH et al., 1999, "State of the art of therapeutic apheresis in Europe", Ther. Apher. 3(3):197-8	
	C36	BRELOER et al., 1999, "in vivo and in vitro activation of T cells after administration of Ag-negative heat shock proteins," J. Immunol. 162:3141-3147	
	C37	BUMOL et al., 1988 "Characterization Of The Human Tumor And Normal Tissue Reactivity Of The KS1/4 Monoclonal Antibody." Hybridoma 7:407-415	
	C38	CARSWELL et al., 1970, "Immunogenic Properties Of Reticulum Cell Sarcomas Of SJL/J Mice." Natl. Cancer Inst. 44:1281-1288	
	C39	CASSEL et al., 1977, "Viral oncolysate in the management of malignant melanoma. I. Preparation of the oncolysate and measurement of immunologic responses," Cancer 40:672-679	
	C40	CASSEL et al., 1983 "A Phase II Study On The Postsurgical Management Of Stage II Malignant Melanoma With A Newcastle Disease Virus Oncolysate." Cancer, 52:856-860	
	C41	CASTELLI et al., 2001, "Human Heat Shock Protein 70 Peptide Complexes Specifically Active Antimelanoma T cells." Cancer Res 61:222-227	
	C42	CHANDAWARKAR et al., 2004, "Immune modulation with high-dose heat shock protein gp96: therapy of murine autoimmune diabetes and encephalomyelitis," Int'l. Immunol. 16:315-324	
	C43	CHU et al., 1994, $\alpha$ 2-Macroglobulin: A Sensor for Proteolysis," Ann. N.Y. Acad. Sci. 737:291-307	
	C44	CLARKE et al. 1988, "Purification of Complexes of Nuclear Oncogene p53 with Rat and Escherichia coli Heat Shock Proteins: In Vitro Dissociation of hsc70 and dnaK from Murine p53 by ATP" Mol. and Cell. Biol. Vol. 8 (3) 1206-1215	
	C45	COLLEN et al., 1989, "Tissue-type plasminogen activator. A review of its pharmacology and therapeutic use as a thrombolytic agent." Drugs. 38(3):346-88.	
	C46	COSTANZO, 1996, "New monoclonal antibodies," Curr. Opin. Cardiol. 11(2):204-7	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C47	CRAIG, 1993, "Chaperones: Helpers Along the Pathways to Protein Folding," <i>Science</i> 260:1902-4	
	C48	D'ANDREA, 2005, "Add Alzheimer's disease to the list of autoimmune diseases," <i>Med. Hypotheses</i> 64(3):458-463	
	C49	DASH, <i>et al.</i> , 2002 "Slow-Tight Binding Inhibition of Xylanase by an Aspartic Protease Inhibitor." <i>J. Biol. Chem.</i> 277:17978-17986	
	C50	DAVIDOFF <i>et al.</i> , 1992, "Immune response to p53 is dependent upon p53/HSP70 complexes in breast cancers	
	C51	DEL GIUDICE <i>et al.</i> , 1994, "Hsp70: a carrier molecule with built-in adjuvanticity", <i>Experientia</i> 30:50(11-12):1061-6	
	C52	DERMER, 1994, "Another Anniversary for the War on Cancer," <i>Biotechnology</i> 12:320	
	C53	DEUTSCHER <i>et al.</i> , 1992 "Guide to protein purification." <i>Meth. Enzymol.</i> , 182:610-611	
	C54	DUBOIS <i>et al.</i> , 1980, "Immunogenic properties of soluble cytosol fractions on Meth A sarcoma cells," <i>Cancer Res.</i> 40:4204-4208	
	C55	DUBOIS, <i>et al.</i> , 1982 "Purification and Biochemical Properties of Tumor-Associated Transplantation Antigens From Methylcholanthrene-Induced Murine Sarcomas." <i>Proc. Natl. Acad. Sci USA</i> , 79:7669-7673	
	C55	ELLGAARD ET AL., 1997, "Dissection of the domain architecture of the alpha2macroglobulin-receptor associated protein." <i>Eur. J. Biochem</i> 244:544-51	
	C57	EPPLEN <i>et al.</i> , 1997, "Genetic predisposition to multiple sclerosis as revealed by immunoprinting," <i>Ann. Neurol.</i> 41(3):341-52.	
	C58	ESPANA <i>et al.</i> , 1996, <i>Clin. Chem</i> 42(3):545-550	
	C55	ESTIN <i>et al.</i> , 1989, "Transfected mouse melanoma lines that express various levels of human melanoma-associated antigen p97," <i>J. Natl. Cancer Inst.</i> 81:445-448	
	C60	EVANS <i>et al.</i> , 1999, <i>Q.J. Med</i> 92:299-307	
	C61	FALK <i>et al.</i> , 1990, "Cellular Peptide Composition Governed by Major Histocompatibility Complex Class I Molecules", <i>Nature</i> 348:248-251	
	C61	FALK <i>et al.</i> , 1991, "Identification of Naturally Processed Viral Nonapeptides Allows Their Quantification in Infected Cells and Suggests an Allele-specific T Cell Epitope Forecast". <i>J Exp. Med</i> 174:425-434	
	C63	FALK <i>et al.</i> , 1991, "Allele-specific Motifs Revealed by Sequencing of Self-peptides Eluted from MHC Molecules", <i>Nature</i> 351:290-296	
	C64	FALK <i>et al.</i> , 1992, "Specificity of antigen processing for MHC class I restricted presentation is conserved between mouse and man", <i>Eur. J. Immunol.</i> 22:1323-1326	
	C65	FAY <i>et al.</i> , 1979, "Leukopheresis Therapy of Leukemic Reticuloendotheliosis (Hairy Cell Leukemia)", <i>Blood</i> 54: 747-749	
	C66	FEDWEG and SRIVASTAVA "Evidence for biochemical heterogeneity of gp96 heat shock protein/tumor rejection antigen", <i>Mount Sinai School of Medicine NZ</i> 206, p. 108	
	C67	FENG <i>et al.</i> , 2002, "Exogenous heat shock proteins provide adjuvant effects on enhancing the immunogenicity of apoptotic tumor cells and inducing antitumor immunity," <i>AACR 93<sup>rd</sup> Annual Meeting</i> , Vol. 43, April 6-10, Abstract #2214	
	C68	FERRERO <i>et al.</i> , 1995, The GroES homolog of <i>Helicobacter pylori</i> confers protective immunity against mucosal infection in mice. <i>Proc Natl Acad Sci USA</i> 92(14):6499-503	

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

## LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C69	FLYNN et al., 1989, "Peptide binding and release by proteins implicated as catalysts of protein assembly", <i>Science</i> 245:385-390	
	C70	FLYNN et al., 1991, "Peptide-binding Specificity of the Molecular Chaperone BiP", <i>Nature</i> 353:726-730	
	C71	FORRESTER et al., 1983, "Effect of modified alpha 2macroglobulin on leucocyte locomotion and chemotaxis", <i>Immunology</i> 50(2):251-9	
	C72	FRESHNEY, 1983, "Culture of Animal Cells, A Manual of Basic Technique," Alan R. Liss Inc., New York p4	
	C73	GAIGER et al., 2000, "Immunity to WTI in the animal model and in patients with acute myeloid leukemia," <i>Blood</i> 96(4):1480-1489	
	C74	GALLUCCI et al., 1999, "Natural adjuvants: endogenous activators of dendritic cells," <i>Nat. Med.</i> 5:1249-55	
	C75	GELBER et al., 1992, "Vaccination of mice with a soluble protein fraction of Mycobacterium leprae provides consistent and long-term protection against M. leprae infection," <i>Infect Immun.</i> 60(5):1840-4	
	C76	GELBER et al., 1994, "Vaccination with pure Mycobacterium leprae proteins inhibits M. leprae multiplication in mouse footpads," <i>Infect Immun.</i> 62(10):4250-5	
	C77	GOMEZ et al., 1991, "Protective efficacy of a 62-kilodalton antigen, HIS-62, from the cell wall and cell membrane of Histoplasma capsulatum yeast cells." <i>Infect Immun.</i> 59(12):4459-64	
	C78	GOMEZ et al., 1992, "An 80-kilodalton antigen from Histoplasma capsulatum that has homology to heat shock protein 70 induces cell-mediated immune responses and protection in mice," <i>Infect Immun.</i> 60(7):2565-71	
	C79	GOMEZ et al., 1995, "Vaccination with recombinant heat shock protein 60 from Histoplasma capsulatum protects mice against pulmonary histoplasmosis." <i>Infect Immun.</i> 63(7):2587-95	
	C80	GOTO AND TANZI, 2002, "The role of the low-density lipoprotein receptor-related protein (LRP1) in Alzheimer's Abeta generation," <i>J. Mol. Neurosci.</i> 19:37-41	
	C81	GRAHAM, et al. 1955., "Antibodies Elicited by Cancer in Patients.", <i>Cancer</i> 8:409-416	
	C82	GRANER et al. 2000, "Immunoprotective activities of multiple chaperone proteins isolated from murine B-cell leukemia/lymphoma" <i>Clin. Can. Res.</i> 6:909	
	C83	GRANER et al., 2000, "Tumor-derived multiple chaperone enrichment by free-solution isoelectric focusing yields potent antitumor vaccines" <i>Cancer Immunol. Immunother.</i> 49:476	
	C84	GRANER et al., 2003, "Tumor-derived chaperone-rich cell lysates are effective therapeutic vaccines against a variety of cancers," <i>Cancer Immunol. Immunother.</i> 52(4):226-234	
	C85	GRIFFEN, Jr., et al. 1972, "Colon Carcinoma and Immunologic Phenomena." <i>Surgical Clinics of North America</i> , Vol. 52:839-846	
	C86	GROBMANN et al., 1997, "Active-Specific Immunotherapy Of Pancreatic Carcinoma: Usefulness Of Human Pancreatic Carcinomas In Preparing Autologous Tumor Vaccines." <i>Anticancer Res.</i> 17: 3117-3120	
	C87	HALEVY et al. 1990, "Different Tumor-Derived p53 Mutants Exhibit Distinct Biological Activities", <i>Science</i> Vol. 250 113-116	
	C88	HANOVER et al., 1986, "Monoclonal antibodies against a glycoprotein localized in coated pits and endocytic vesicles inhibit alpha2-macroglobulin binding and uptake", <i>J. of Biol. Chem.</i> 261(35): 16732-16737.	
	C89	HARLOW et al., 1988, "Antibodies: A Laboratory Manual" ch 6:139-243	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO. <b>8449-178-999</b>	APPLICATION NO. <b>09/873,403</b>
	APPLICANT <b>Srivastava et al.</b>	
	FILING DATE <b>June 4, 2001</b>	ART UNIT <b>1643</b>

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C90	HEEB et al., 1995, "Prostate specific antigen-alpha 2-macroglobulin complexes in prostate cancer patient sera," <i>Biochem. Mol. Biol. Int.</i> 37(5):917-23	
	C91	HEISKALA et al., 1988 "Characteristics Of Soluble Tumour-Derived Proteins That Inhibit Natural Killer Activity," <i>Scand. J. Immunol.</i> 28:19-27	
	C92	HENTTU AND VIHKO, 1989 "cDNA Coding For The Entire Human Prostate Specific Antigen Shows High Homologies To The Human Tissue Kallikrein Genes." <i>Biochem. Biophys. Res. Comm.</i> 160:903-910	
	C93	HERZ AND STRICKLAND, 2001, "LRP: a multifunctional scavenger and signaling receptor," <i>J. Clin. Invest.</i> 108:779-784	
	C94	HERZ et al., 1990, "Low density lipoprotein receptor-related protein mediates endocytosis of monoclonal antibodies in cultured cells and rabbit liver", <i>J. of Biol. Chem.</i> 265(34): 21355-21362.	
	C95	HERZ et al., 1991, "39-kDa protein modulates binding of ligands to low density lipoprotein receptor-related protein/alpha-2-macroglobulin receptor." <i>J.Biol.Chem.</i> 266(31):21232-21238.	
	C96	HEY et al., 1988, "Cloning of a novel member of the low-density lipoprotein receptor family", <i>Gene</i> 216: 103-111.	
	C97	HINDS et al., 1987, "Immunological Evidence for the Association of p53 with a Heat Shock Protein, hsc70, in p53-plus-ras-Transformed Cell Lines" <i>Mol. and Cell. Biol.</i> Vol.7 (8) 2863-2869	

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE June 4, 2001	ART UNIT 1643

### NON PATENT LITERATURE DOCUMENTS

C98	HINDS et al., 1990, "Mutant p53 DNA Clones from Human Colon Carcinomas Cooperate with ras in Transforming Primary Rat Cells: A Comparison of the "Hot Spot" Mutant Phenotypes" Cell Growth and Differentiation Vol. 1 571-580
C99	HOLLINSHEAD, 1988, "Immunotherapy," in: <i>Cancer: The Outlaw Cell</i> , LaFond, ed., American Chemical Society, Washington, DC pp. 237-250 (Chapter 14)
C100	HORN et al., 1995, "Analysis of the binding of Pro-urokinase and urokinase-plasminogen activator inhibitor-1 complex to the low density lipoprotein receptor-related protein using a Fab fragment selected from a phage-displayed Fab library", J. of Biol. Chem. 270 (20): 11770-11775.
C101	HORWITZ et al., 1995, Protective immunity against tuberculosis induced by vaccination with major extracellular proteins of Mycobacterium tuberculosis. Proc Natl Acad Sci U S A. 92(5):1530-4
C102	HOUGHTEN et al., 1991, "Generation and use of synthetic peptide combinatorial libraries for basic research and drug discovery," Science 354:84-86
C103	HUBBARD et al., 1992, "Immunization of mice with mycobacterial culture filtrate proteins," Clin. Exp. Immunol. 87(1):94-8
C104	HUGHES et al., 1970, "A Study In Clinical Cancer Immunotherapy", <i>Cancer</i> , 26:269-278
C105	HUGHES et al., 1981, "Characterization of plasma membrane proteins identified by monoclonal antibodies", J. of Biol. Chem. 256(2): 664-671.
C106	HUMPHREY et al., 1984, "Adjuvant immunotherapy for melanoma," J. Surg. Concol. 25:303-305
C107	HUNTER, N. et al., 1991, "Suppression of experimental allergic encephalomyelitis by alpha(2)-macroglobulin," Immunology 73:58-63
C108	ISAACS et al., 1988, "Use of anti-idiotypic antibodies to establish that monoclonal antibody 7H11D6 binds to the alpha2-macroglobulin receptor recognition site", J. Biol. Chem. 263(14): 6709-6714.
C109	ISHII et al., 1999, "Isolation of MHC class I-restricted tumor antigen peptide and its precursors associated with heat shock proteins hsp70, hsp90, and gp96", J Immunol. 162(3):1303-9
C110	ISRAELI et al., 1993, "Molecular Cloning Of A Complementary DNA Encoding A Prostate-Specific Membrane Antigen." <i>Cancer Res.</i> 53:227-230
C111	JAIN et al., 1994, "Barriers to drug delivery in solid tumors." Sc Am 171(1):58-65
C112	JAKOB et al., 1993, "Small Heat Shock Proteins Are Molecular Chaperones", <i>J. Biol. Chem.</i> 268:1517-1520
C113	JAMES, K., 1980, "Alpha (2) macroglobulin and its possible importance in immune systems," Trends in Biol. Sci. p.43-47
C114	JANETZKI et al., 2000, "Immunization of cancer patients with autologous cancer-derived heat shock protein gp96 preparations: a pilot study" <i>Int. J. of Cancer</i> 88:232-238
C115	JANEWAY, Travers, Walport, and Shlomchick, 2001, Immunobiology, 5th ed., Garland Publishing, New York (Part V, Sections 13-1 to 13-15)
C116	JARDETZKY et al., 1991, "Identification of Self Peptides Bound to Purified HLA-B27", <i>Nature</i> 353:326-329
C117	JINDAL et al., 1989, "Primary structure of a human mitochondrial protein homologous to the bacterial and plant chaperonins and to the 65-kilodalton mycobacterial antigen. Mol Cell Biol. 9(5):2279-83
C118	JOCHAM et al., 2004, "Adjuvant Autologous Renal Tumour Cell Vaccine and Risk of Tumour Progression in Patients with Renal-Cell Carcinoma After Radical Nephrectomy: Phase III, Randomised Controlled Trial." <i>The Lancet</i> , Vol 363:594-599

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE June 4, 2001	ART UNIT 1643

### NON PATENT LITERATURE DOCUMENTS

C119	KATSANIS et al., 2000, "Augmentation of Tumor Lysate Immunogenicity by enrichment of Chaperone Proteins Using Free Solution Isoelectric Focusing (FS-IEF)" <i>Keystone Symposia on Cellular Immunity and Immunotherapy of Cancer</i> , abstract 431	
C120	KATSUTANI et al., 1992, "Immunogenic properties of structurally modified human tissue plasminogen activators in chimpanzees and mice." <i>Fundam Appl Toxicol.</i> 19(4):555-62.	
C121	KIM et al., 1998, "A new low density lipoprotein receptor related protein, LRP5, is expressed in hepatocytes and adrenal cortex, and recognized apolipoprotein E", <i>J. Biochem.</i> 124: 1072-1076.	
C122	KIMBER et al., 2002, "Lactoferrin: influences on langerhans cells, epidermal cytokines, and cutaneous inflammation." <i>Biochem Cell Biol.</i> 2002;80(1):103-7.	
C123	KOJIMA et al., 2002, "Combination therapy of tumor-derived gp96 and GM-CSF or IL-12-gene transduced tumor cells in the control of LLC tumor," <i>AACR 93<sup>rd</sup> Annual Meeting</i> , Vol. 43, Abstract #5516	
C124	KOL et al., 2000, "Cutting edge: heat shock protein (HSP)60 activates the innate immune response: CD14 is an essential receptor for HSP60 activation of mononuclear cells", <i>J Immunol.</i> 164(1):13-17	
C125	KOO, 1982, "Characterization of growth-inhibitory activities associated with an alpha-macroglobulin of mice," <i>Cancer Res.</i> 42(5):1788-97	
C126	KORNFELD et al., 1980, "Plasmapheresis in Myasthenia Gravis," <i>Plasma Therapy</i> , 2(3): 127-133	
C127	KRIPKE, 1974 "Antigenicity Of Murine Skin Tumors Induced By Ultraviolet Light." <i>J. Natl. Cancer Inst.</i> 53:1333-1336	
C128	KRISTENSEN et al., 1990, "Evidence that the newly cloned low-density-lipoprotein receptor related protein (LRP) is the alpha 2-macroglobulin receptor", <i>FEBS Lett.</i> 276(1-2):151-5	
C129	KUHLMANN et al., 1997, "Drug Research: from the idea to the product," <i>International Journal of Pharmacology and Therapeutics</i> 35:541-552	
C130	LAKEY et al., 1987, "Identification of a peptide binding protein that plays a role in antigen presentation", <i>Proc. Natl. Acad. Sci. USA</i> 84:1659-1663	
C131	LANZAVECCHIA, 1993, "Identifying Strategies for Immune Intervention", <i>Science</i> 260:937-944	
C132	LÉVY, 1991, "ATP is Required for In Vitro Assembly of MHC Class I Antigens but Not for Transfer of Peptides across the ER Membrane", <i>Cell</i> 67:265-274	
C133	LI and SRIVASTAVA, 1993, "Tumor rejection antigen gp96/grp94 is an ATPase: Implications for protein folding and antigen presentation", <i>EMBO J.</i> 12(8):3143-3151	
C134	LIVINGSTON et al. 1985., "Serological Response of Melanoma Patients to Vaccines Prepared from VSV Lysates of Autologous and Allogeneic Cultured Melanoma Cells." <i>Cancer</i> , 55:713-720	
C135	LODISH et al., <i>Molecular Cell Biology</i> , ch. 17.3 "Overview of the Secretory Pathway". pp 691-696, W.H. Freeman and Company 2000	
C135	LUESCHER et al., 1991, "Specific Binding of Antigenic Peptides to Cell-associated MHC Class I Molecules", <i>Nature</i> 351:72-77	
C134	LUKACS et al., 1993, "Tumor cells transfected with a bacterial heat-shock gene lose tumorigenicity and induce protection against tumors", <i>J. Exp. Med.</i> 178:343-348	
C138	LUSSOW et al., 1991, "Mycobacterial heat-shock proteins as carrier molecules", <i>Eur J Immunol.</i> 21(10):2297-302	
C139	MADDEN et al., 1991, "The Structure of HLA-B27 Reveals Nonamer Self-peptides Bound in an Extended Conformation", <i>Nature</i> 353:321-325	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO. <b>8449-178-999</b>	APPLICATION NO. <b>09/873,403</b>
	APPLICANT <b>Srivastava et al.</b>	
	FILING DATE <b>June 4, 2001</b>	ART UNIT <b>1643</b>

### NON PATENT LITERATURE DOCUMENTS

C140	MAKI (1991) "The Human Homologue of the Mouse Tumor Rejection Antigen GP96", Ph.D. thesis, Cornell University	
C141	MARTIN et al., 1986, "Role of Murine Tumor Models in Cancer Treatment Research", Cancer Research 46:2189-2192	
C142	MATSUTAKE et al., 2001, "The immunoprotective MHC II epitope of a chemically induced tumor harbors a unique mutation in a ribosomal protein," PNAS 98(7):3992-3997	
C143	MELCHER et al., 1998, "Tumor immunogenicity is determined by the mechanism of cell death via induction of heat shock protein expression", Nat. Med. 5:581-7	
C144	MELIEF et al., 1992, "Lessons from T Cell Responses to Virus Induced Tumours for Cancer Eradication in General", Career Surveys 13:81-99	
C145	MELNICK, 1985, "Virus Vaccines: An Overview", Proceedings of the First Annual Southwest Foundation for Biomedical Research International Symposium, Houston, Texas, 8-10 November 1984, American Society for Microbiology pp. 1-13	
C146	MÉNORET and CHANDAWARKAR, 1998, "Heat-shock protein-based anticancer immunotherapy: an idea whose time has come" Semin. in Oncology 25:654	
C147	MENORET et al., 1995, "Co-segregation of tumor immunogenicity with expression of inducible but not constitutive hsp70 in rat colon carcinomas," J. Immunol. 155:740-7	
C148	MILLWARD AND HOELTGE, 1982, "The Historical Development of Automated Hemapheresis", J. of Clin. Apheresis 1: 25-32	
C149	MIZZEN et al., 1998, "Immune responses to stress proteins: applications to infectious disease and cancer," Biotherapy 10:173-185	
C150	MOESTRUP et al., 1990, "Immunocytochemical identification of the human alpha 2-macroglobulin receptor in monocytes and fibroblasts: monoclonal antibodies define the receptor as a monocyte differentiation antigen", Exper. Cell Res. 190: 195-203.	
C151	MOESTRUP et al., 1991, "Analysis of Ligand Recognition by the purified alpha-2M- macroglobulin receptor (low density lipoprotein receptor-related protein). J. Biol. Chem. 266(21):14011-14017.	
C152	MOROI et al., 2000, "Induction of Cellular Immunity by Immunization with Novel Hybrid Peptides Complexed to Heat Shock Protein 70." Proc. Natl. Acad. Sci. 97(7):3485-3490	
C153	MSNBC News Services, 2000, "Mixed Results on new cancer drug."	
C154	MULÉ et al., 1984, "Adoptive Immunotherapy of Established Pulmonary Metastases with LAK Cells and Recombinant Interleukin-2", Science 225:1487-1489	
C155	MUNRO et al., 1986, "An Hsp70-like protein in the ER: identity with the 78 kd glucose-regulated protein and immunoglobulin heavy chain binding protein", Cell 46(2):291-300	
C156	MURRAY et al., 1977 "Viral Oncolysate in the Management of Malignant Melanoma II, Clinical Studies." Cancer 40:680-686	
C157	NAIR et al., 1977 "Antigen-Presenting Cells Pulsed With Unfractionated Tumor-Derived Peptides Are Potent Tumor Vaccines." Eur. J. Immunol. 27:589-597	
C158	NAIR et al., 1999, "Calreticulin displays in vivo peptide-binding activity and can elicit CTL responses against bound peptides" J. Immunol. 162:6426	
C159	NATALI et al., 1987 "Immunohistochemical Detection Of Antigen In Human Primary And Metastatic Melanomas By The Monoclonal Antibody 140.240 And Its Possible Prognostic Significance." Cancer, 59:55-63	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

LIST OF REFERENCES CITED BY APPLICANT (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT	
	Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

## NON PATENT LITERATURE DOCUMENTS

C160	NIELAND et al., 1996, "Isolation of an immunodominant viral peptide that is endogenously bound to the stress protein GP96/GRP94", Proc. Natl. Acad. Sci. USA 93:6135-6139	
C161	NORRBY, 1985, "Summary," in: <i>Vaccines 85</i> , Lerner et al., eds., Cold Spring Harbor Laboratory, Cold Spring Harbor, NY pp. 387-394	
C162	OETTGEN AND OLD, 1991 "The History Of Cancer Immunotherapy." In: <i>Introduction To The Biologic Therapy Of Cancer</i> , Devitta et al., Eds., Lippincott, Philadelphia, PA, pp.87-119 (Chapter 6)	
C163	OFFICE ACTION mailed on 02/26/02 for U.S. Application No. 09/625,137 filed 07/25/00	
C164	OFFICE ACTION mailed on 05/18/05 for U.S. Application No. 09/625,137 filed 07/25/00	
C165	OFFICE ACTION mailed on 10/05/04 for U.S. Application No. 09/625,137 filed 07/25/00	
C166	OFFICE ACTION mailed on 11/02/05 for U.S. Application No. 09/625,137 filed 07/25/00	
C167	OFFICE ACTION mailed on 12/31/02 for U.S. Application No. 09/625,137 filed 07/25/00	
C168	OFFICE ACTION mailed on 02/08/06 for U.S. Application No. 09/668,724 filed 09/22/00	
C169	OFFICE ACTION mailed on 02/25/03 for U.S. Application No. 09/668,724 filed 09/22/00	
C170	OFFICE ACTION mailed on 05/07/02 for U.S. Application No. 09/668,724 filed 09/22/00	
C171	OFFICE ACTION mailed on 06/20/07 for U.S. Application No. 09/668,724 filed 09/22/00	
C172	OFFICE ACTION mailed on 07/07/04 for U.S. Application No. 09/668,724 filed 09/22/00	
C173	OFFICE ACTION mailed on 09/21/06 for U.S. Application No. 09/668,724 filed 09/22/00	
C174	OFFICE ACTION mailed on 03/13/06 for U.S. Application No. 09/750,972 filed 12/28/00	
C175	OFFICE ACTION mailed on 06/05/02 for U.S. Application No. 09/750,972 filed 12/28/00	
C176	OFFICE ACTION mailed on 08/28/03 for U.S. Application No. 09/750,972 filed 12/28/00	
C177	OFFICE ACTION mailed on 01/11/06 for U.S. Application No. 10/225,367 filed 08/20/02	
C178	OFFICE ACTION mailed on 03/30/05 for U.S. Application No. 10/225,367 filed 08/20/02	
C173	OFFICE ACTION mailed on 04/18/07 for U.S. Application No. 10/225,367 filed 08/20/02	
C186	OFFICE ACTION mailed on 09/25/06 for U.S. Application No. 10/225,367 filed 08/20/02	
C181	OFFICE ACTION mailed on 10/19/07 for U.S. Application No. 10/225,367 filed 08/20/02	
C182	OFFICE ACTION mailed on 01/03/06 for U.S. Application No. 10/427,857 filed 05/01/03	
C183	OFFICE ACTION mailed on 10/15/07 for U.S. Application No. 10/546,106 filed 10/11/05	
C184	OFFICE ACTION mailed on 02/22/07 for U.S. Application No. 10/784,012 filed 02/20/04	
C185	OFFICE ACTION mailed on 08/07/06 for U.S. Application No. 10/784,012 filed 02/20/04	
C186	OFFICE ACTION mailed on 11/02/07 for U.S. Application No. 10/784,012 filed 02/20/04	
C187	OHASHI et al., 2000, Cutting edge: heat shock protein 60 is a putative endogenous ligand of the toll-like receptor-4 complex. J. Immunol. 164:558-561	
C188	OLD et al., 1962 "Part II. Antigens Of Tumor Cells. Antigenic Properties Of Chemically-Induced Tumors." Ann. N.Y. Acad. Sci. 101:80-106	
C189	OPEKUN et al., 1999, "Novel therapies for Helicobacter pylori infection." Aliment Pharmacol Ther. 13(1):35-42.	
C190	PAL P.G., et al., 1992, "Immunization with extracellular proteins of Mycobacterium tuberculosis induces cell-mediated immune responses and substantial protective immunity in a guinea pig model of pulmonary tuberculosis." Infect Immun. 60(11):4781-92	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO. <b>8449-178-999</b>	APPLICATION NO. <b>09/873,403</b>
	APPLICANT <b>Srivastava et al.</b>	
	FILING DATE <b>June 4, 2001</b>	ART UNIT <b>1643</b>

### NON PATENT LITERATURE DOCUMENTS

C191	PALLADINO et al., 1987, "Expression of shared tumor-specific antigen by two chemically induced BALB/c sarcomas", <i>Cancer Research</i> 47:5074-5079	
C192	PARDOLL, 2000, "Therapeutic vaccination for cancer", <i>Clin. Immunol.</i> 95(1 Pt 2): S44-62	
C193	PATTILLO, 1974 "Combination Chemotherapy-Immunotherapy Indirect Chemotherapy Sensitivity Testing and Specific and Non-Specific Immunostimulation." In: <i>Neoplasm Immunity: Theory and Application: Proceedings of a Chicago Symposium</i> , Crispen, Ed. ITR, Chicago, IL, pp. 189-204	
C194	PAUL, Ed., 1993 <i>Fundamental Immunology</i> , 3rd Edition, Raven Press, NY, p. 1158 and References 189-220 Cited On pp.1173-1174	
C195	PAUL, <i>Fundamental Immunology</i> , 1993 Third Edition, Raven Press, NY	
C196	PCT International Preliminary Examination Report mailed on 01/16/06 for Intl. Application No. PCT/US03/14390	
C197	PCT International Preliminary Examination Report mailed on 06/17/03 for Intl. Application No. PCT/US01/23098	
C198	PCT International Preliminary Examination Report mailed on 09/23/04 for Intl. Application No. PCT/US01/18041	
C199	PCT International Preliminary Examination Report mailed on 10/06/2005 for Intl. Application No. PCT/US02/26573	
C200	PCT International Preliminary Examination Report mailed on 10/11/06 for Intl. Application No. PCT/US2004/005110	
C201	PCT Written Opinion mailed on 10/11/06 for Intl. Application No. PCT/US2004/005110	
C202	PENG et al., 1997, "Purification of immunogenic heat shock protein 70-peptide complexes by ADP-affinity chromatography" <i>J. Immunol. Meth.</i> 204:13	
C203	PEREZ AND WALKER, 1989, "Isolation And Characterization Of A CcDNA Encoding The KS1/4 Epithelial Carcinoma Marker", <i>J. Immunol.</i> 142:3662-3667	
C204	PINEDA et al., 1994, "Applications of therapeutic apheresis," <i>Mayo Clin. Proc.</i> 69(9):893-4	
C205	PINHASI-KIMHI et al. 1986, "Specific interaction between the p53 cellular tumour antigen and major heat shock proteins", <i>Nature</i> Vol 320 (13) 182-184	
C206	PINILLA-Ibarz et al., 2000, "Vaccination of patients with chronic myelogenous leukemia with bcr-abl oncogene breakpoint fusion peptides generates specific immune responses," <i>Blood</i> 95(5):1781-1787	
C207	PREHN AND MAIN, 1957 "Immunity To Methylcholanthrene-Induced Sarcomas." <i>J. Natl. Cancer Inst.</i> 18:769-778	
C208	PROUD, G. et al., 1979, "Blood transfusion and renal transplantation," <i>Br. J. Sur.</i> 66:678-82	
C209	RAPLEY, 1995, "The biotechnology and applications of antibody engineering," <i>Mol. Biotechnol.</i> 3(2):139-54	
C210	REED et al., 1990, "Low incidence of antibodies to recombinant human tissue-type plasminogen activator in treated patients." <i>Thromb Haemost.</i> 64(2):276-80.	
C211	REPMANN et al. 1997 "Adjuvant Therapy Of Renal Cell Carcinoma With Active-Specific-Immunotherapy (ASI) Using Autologous Tumor Vaccine." <i>Anticancer Res.</i> 17:2879-2882	
C212	REPORT of the AMA Panel on Therapeutic Plasmapheresis, Current Status of Therapeutic Plasmapheresis and Related Techniques, December 1984	
C213	ROGERS et al., 1981, "Some immunogenic acid biochemical properties of tumor-associated transplantation antigens (TATA) obtained in soluble form or solubilized from two methylcholanthrene-induced sarcomas, Meth A and CI-4," <i>Int. J. Cancer</i> 27:789-796	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO. <b>8449-178-999</b>	APPLICATION NO. <b>09/873,403</b>
	APPLICANT <b>Srivastava et al.</b>	
	FILING DATE <b>June 4, 2001</b>	ART UNIT <b>1643</b>

### NON PATENT LITERATURE DOCUMENTS

	C214	ROTHMAN, 1989, "Polypeptide Chain Binding Proteins: Catalysts of Protein Folding and Related Processes in Cells", <i>Cell</i> 59:591-601	
	C215	RÖTZSCHKE et al., 1990, "Isolation and Analysis of Naturally Processed Viral Peptides as Recognized by Cytotoxic T cells", <i>Nature</i> 348:248-251	
	C216	ROTZSCHKE, 1990, "Characterization of Naturally Occurring Minor Histocompatibility Peptides including H-4 and H-Y" <i>Science</i> 249: 283-287	
	C217	SALK et al., 1993, "A Strategy for Prophylactic Vaccination Against HIV", <i>Science</i> 260:1270-1272	
	C218	SALLUSTO et al., 1994, "Efficient presentation of soluble antigen by cultured human dendritic cells is maintained by granulocyte/macrophage colony-stimulating factor plus interleukin 4 and downregulated by tumor necrosis factor alpha," <i>J. Exp. Med.</i> 179(4):1109-1118	
	C219	SANO et al., 1987, "The augmentation of tumor-specific immunity using haptenic muramyl dipeptide (MDP) derivatives. II. Establishment of tumor-specific immunotherapy models utilizing MDP hapten-reactive helper T cell activity," <i>Cancer Immunol. Immunother.</i> 25(3):180-184	
	C220	SAUTER et al., 2000, "Consequences of cell death: exposure to necrotic tumor cells, but not primary tissue cells or apoptotic cells, induces the maturation of immunostimulatory dendritic cells", <i>J. Exp. Med.</i> 191:423-434	
	C221	SCHREIBER, 1989 "Tumor Immunology." In: <i>Fundamental Immunology</i> , 2nd Edition, Paul, ed. , pp; 923-955	
	C222	SCHUMACHER et al., 1991, "Peptide Selection by MHC Class I Molecules", <i>Nature</i> 350:703-706	
	C223	SENGUPTA et al., 2004, "Heat shock protein-mediated cross-presentation of exogenous HIV antigen on HLA Class I and Class II," <i>J. Immunol.</i> 173:1987-1993	
	C224	SILVA et al., 1994, "A single mycobacterial protein (hsp 65) expressed by a transgenic antigen-presenting cell vaccinates mice against tuberculosis", <i>Immunology</i> 82(2):244-8	
	C225	SINGH, 1997, "Neuroautoimmunity: pathogenic implications for Alzheimer's disease," <i>Gerontology</i> 43:79-94	
	C226	SMORODIN et al., 1991, "The complex of $\alpha$ -2 Macroglobulin with CD2 in the Plasma of Gastric Carcinoma Patients." <i>Scand J. Immunol</i> 33:699-706	
	C229	SORGER and PELHAM, 1987, "The glucose-regulated protein grp94 is related to heat shock protein hsp90", <i>J. Mol. Biol.</i> 194(2):341-4	
	C229	SOTGIU et al., 1998, "Genetic susceptibility to multiple sclerosis in Sardinians: an immunological study," <i>Acta. Neurol. Scand.</i> 98(5):314-7	
	C229	SPARKS et al., 1976, "Immunology and adjuvant chemoimmunotherapy of breast cancer," <i>Arch. Surg.</i> 111:1057-1062	
	C230	SPERO et al., 1980, "Plasma Exchange in Preparation of Mild Factor IX Deficient Hemophiliacs for Surgical Procedures," 19-22	
	C231	SRIVASTAVA and HEIKE, 1986, "Tumor-specific immunogenicity of stress-induced proteins: Convergence of two evolutionary pathways of antigen presentation?", <i>Seminars in Immunology</i> 3:57-64	
	C232	SRIVASTAVA and OLD (1989) "Gp96 Molecules: Recognition Elements in Tumor Immunity", <i>Human Tumor Antigens and Specific Tumor Therapy</i> , pages 63-71	
	C233	SRIVASTAVA and UDONO, 1994, "Heat shock protein-peptide complexes in cancer immunotherapy" <i>Curr. Opin. Immunol.</i> 6:728	
	C234	SRIVASTAVA et al. (1990) "Immunization with Soluble Gp96 Antigens Elicits Tumor-Specific Cellular Immunity:, Cellular Immunity and the Immunotherapy of Cancer, pages 307-314	

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO. <b>8449-178-999</b>	APPLICATION NO. <b>09/873,403</b>
	APPLICANT <b>Srivastava et al.</b>	
	FILING DATE <b>June 4, 2001</b>	ART UNIT <b>1643</b>

### NON PATENT LITERATURE DOCUMENTS

C235	SRIVASTAVA et al., 1984, "The Serologically Unique Cell Surface Antigen of Zajdela Ascitic Hepatoma is also its Tumor-Associated Transplantation Antigen", <i>Int. J. Cancer</i> 33:417-422	
C236	SRIVASTAVA et al., 1987, "5'-structural analysis of genes encoding polymorphic antigens of chemically induced tumors." <i>Proc. Natl. Acad. Sci USA</i> 84(11):3807-3811	
C237	SRIVASTAVA et al., 1988, "Individually distinct transplantation antigens of chemically induced mouse tumors," <i>Immunol. Today</i> 9:78-83	
C238	SRIVASTAVA et al., 1989, "Identification of a Human Homologue of the Murine Tumor Rejection Antigen GP96," <i>Cancer Res.</i> 49:1341-1343	
C239	SRIVASTAVA et al., 1991, "Protein Tumor Antigens", <i>Curr. Opin. Immunol.</i> 3:654-658	
C240	SRIVASTAVA et al., 1993, "Evidence for peptide-chaperoning by the endoplasmic reticular heat shock protein GP96: Implications for vaccination against cancer and infectious diseases", <i>J Cell Biochem Suppl</i> 17D:94 (Abstract NZ014)	
C241	SRIVASTAVA et al., 1998, "Heat shock proteins come of age: primitive functions acquire new roles in an adaptive world", <i>Immunity</i> 8(6):657-65	
C242	SRIVASTAVA PK, 1994, "Heat shock proteins in immune response to cancer: the Fourth Paradigm", <i>Experientia.</i> (11-12):1054-60	
C243	SRIVASTAVA, 1993, "Peptide-Binding Heat Shock Proteins in the Endoplasmic Reticulum: Role in Immune Response to Cancer and in Antigen Presentation," <i>Adv. Cancer Res.</i> 62:153-177	
C244	SRIVASTAVA, 2002, "Roles of heat-shock proteins in innate and adaptive immunity," <i>Nature Rev. Immunol.</i> 2(3): 185-194	
C245	STACK et al., 1982, "Autologous x-irradiated tumour cells and percutaneous BCG in operable lung cancer," <i>Thorax</i> 37(8):588-593	
C246	STEINMAN, L., 2001, "Myelin-specific CD8+ T cells in the pathogenesis of experimental allergic encephalitis and multiple sclerosis," <i>J. Exp. Med.</i> 194:F27-F30	
C247	STENMAN et al., 1991, "A complex between prostate-specific antigen and alpha 1-antichymotrypsin is the major form of prostate-specific antigen in serum of patients with prostatic cancer: assay of the complex improves clinical sensitivity for cancer," <i>Cancer Res.</i> 51(1):222-6	
C248	STEVENSON, 1999, "DNA vaccines against cancer: from genes to therapy," <i>Ann. Oncol.</i> 10:1413-8 Review	
C249	SUBBARAO et al., 1992, "A General Overview of Viral Vaccine Development," <i>Genetically Engineered Vaccines</i> 327:51-57	
C250	SUZUE et al., 1997, "Heat shock fusion proteins as vehicles for antigen delivery into the major histocompatibility complex class I presentation pathway," <i>Proc. Natl. Acad. Sci. USA</i> 94(24):13146-51	
C251	SUZUE K., Young R.A., 1996, "Heat shock proteins as immunological carriers and vaccines. in: Stress-Inducible Cellular Responses" (U. Feige, R. I. Morimoto, I. Yahara, B. S. Polla, eds.), Birkhauser/Springer, 77: 451-465	
C252	SUZUE K., Young R.A., 1996, "Adjuvant-free hsp70 fusion protein system elicits humoral and cellular immune responses to HIV-1" p24. <i>J Immunol.</i> 156(2):873-9	
C253	TAILOR et al., 1990, "Nucleotide Sequence Of Human Prostatic Acid Phosphatase Determined From A Full-Length cDNA Clone." <i>Nucl. Acids Res.</i> 18:4928 (1990)	
C254	TAIT, BD, 1990, "Genetic susceptibility to type I diabetes: a review," <i>J. Autoimmun.</i> 3 Suppl. 1:3-11	
C255	THE MERCK MANUAL of Diagnosis and Therapy, 1999, Beers and Berkow eds., Merck Research Laboratories, Whitehouse Station N.J., pp. 1871 and 1872	

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO. <b>8449-178-999</b>	APPLICATION NO. <b>09/873,403</b>
	APPLICANT <b>Srivastava et al.</b>	
	FILING DATE <b>June 4, 2001</b>	ART UNIT <b>1643</b>

### NON PATENT LITERATURE DOCUMENTS

C256	THOMAS et al., 1982, "Molecular and Cellular Effects of Heat Shock and Related Treatments of Mammalian Tissue-Culture Cells", <i>Cold Springs Harbor Symp Quant Biol</i> 46:985-996	
C257	TODRYK et al., 1999, "Heat shock protein 70 induced during tumor cell killing induces Th1 cytokines and targets immature dendritic cell precursors to enhance antigen uptake," <i>J. Immunol.</i> 163:1398-1408	
C258	TWINING et al., 1977, "Large scale separation of protease inhibitors from malignant human breast tissue," <i>Mol. Cell. Biochem.</i> 18(2-3):101-7	
C259	UDONO et al., 1994, "Comparison of Tumor-Specific Immunogenicities of Stress-Induced Proteins gp96, hsp90, and hsp70," <i>J. Immunol.</i> , 152(11):5398-5403	
C260	UDONO, 1993, "Heat shock proteins HSP70, HSP90 and GP96 elicit tumor specific immunity to the tumors from which they are isolated", <i>J. Cell. Biochem. Suppl.</i> 17D:113 (Abstract NZ225)	
C261	ULLRICH et al., 1986, "A mouse tumor-specific transplantation antigen is a heat shock-related protein," <i>Proc. Natl. Acad. Sci. USA</i> 83(10):3121-3125	
C262	URBANIAK AND ROBINSON, 1990, "ABC of transfusion. Therapeutic apheresis," <i>BMJ</i> 300(6725):662-5 Review	
C263	VAAGE, 1968 "Nonvirus-Associated Antigens In Virus-Induced Mouse Mammary Tumors." <i>Cancer Res.</i> 28:2477-2483	
C264	VANBUSKIRK et al., 1989, "Peptide binding protein having a role in antigen presentation is a member of the hsp70 heat shock family", <i>J. Exp. Med.</i> 170:1799-1809	
C265	VIJAYASARADHI et al., 1990 "The Melanoma Antigen gp75 Is The Human Homologue Of The Mouse b (Brown) Locus Gene Product." <i>J. Exp. Med.</i> 171:1375-1380	
C266	WALLNY et al., 1992, "Gene transfer experiments imply instructive role of major histocompatibility complex class I molecules in cellular peptide processing". <i>Eur. J. Immunol</i> 22:655-659	
C267	WANG et al., 2001, "Characterization of heat shock protein 110 and glucose-regulated protein 170 as cancer vaccines and the effect of fever-range hyperthermia on vaccine activity," <i>J. Immunol.</i> 166(1):490-497	
C268	WARSHAWAKY et al., 1993, "Identification of domains in the 39-kDa protein that inhibit the binding of ligands to the low density lipoprotein receptor-related protein," <i>J. Biol. Chem.</i> 268(29):22046-22054.	
C269	WEINER et al., 1980, "Plasmapheresis in multiple sclerosis: preliminary study," <i>Neurology</i> 30: 1029-33	
C270	WEINER et al., 2002, "Inflammation and therapeutic vaccination in CNS diseases," <i>Nature</i> 420:879-884	
C271	WELCH et al., 1982, "Purification of the Major Mammalian Heat Shock Proteins", <i>J. Biol. Chem.</i> 257:14949-14959	
C272	WELCH et al., 1985, "Rapid Purification of Mammalian 70,000-Dalton Stress Proteins: Affinity of the Proteins for Nucleotides", <i>Mol. Cell. Biol.</i> 5:1229-1237	
C273	WELCH et al., 1995, "Morphological study of the mammalian stress response: characterization of changes in cytoplasmic organelles, cytoskeleton, and nucleoli, and appearance of intranuclear actin filaments in rat fibroblasts after heat-shock treatment," <i>J. Cell. Biol.</i> 101:1198-1211	
C274	WELCH, 1993, "How Cells Respond to Stress," <i>Scientific American</i> 268(5):56-64	
C275	WILLNOW et al., 1996, "The low-density-lipoprotein receptor-related protein (LRP) is processed by furin in vivo and in vitro." <i>The Biochemical Journal. England</i> 313:71-76	
C276	WONG et al., 1991, "Susceptibility to type I diabetes in women is associated with the CD3 epsilon locus on chromosome 11," <i>Clin. Exp. Immunol.</i> 83(1):69-73	
C277	XIAO et al., 1995, "Characterization of hormonogenic sites in an N-terminal, cyanogen bromide fragment of human thyroglobulin." <i>Arch Biochem Biophys.</i> 20:320(1):96-105	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO. <b>8449-178-999</b>	APPLICATION NO. <b>09/873,403</b>
	APPLICANT <b>Srivastava et al.</b>	
	FILING DATE <b>June 4, 2001</b>	ART UNIT <b>1643</b>

NON PATENT LITERATURE DOCUMENTS			
	C278	YAMAUCHI et al., 2000, "Oral administration of bovine lactoferrin for treatment of tinea pedis. A placebo-controlled, double-blind study." <i>Mycoses</i> .43(5):197-202.	
	C279	YANG et al., 1999, "Murine dendritic cells transfected with human GP100 elicit both antigen-specific CD8+ and CD4+ T-cell responses and are more effective than DNA vaccines at generating anti-tumor immunity," <i>Int. J. Cancer</i> 83:532-540	
	C280	YEDAVELLI et al., 1999, "Preventive and therapeutic effect of tumor derived heat shock protein, gp96, in an experimental prostate cancer model" <i>Int. J. Mol. Med.</i> 3:243	
	C281	YU et al., 1991, "Sequence Analysis of Peptides Bound to MHC Class II Molecules", <i>Nature</i> 353:622-627	
	C282	ZIMECKI et al., 1998, "Immunoregulatory effects of a nutritional preparation containing bovine lactoferrin taken orally by healthy individuals." <i>Arch Immunol Ther Exp (Warsz)</i> . 46(4):231-40.	
	C283	ZIMECKI et al., 1999, "Lactoferrin increases the output of neutrophil precursors and attenuates the spontaneous production of TNF-alpha and IL-6 by peripheral blood cells." <i>Arch Immunol Ther Exp (Warsz)</i> . 47(2):113-8.	

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Express Mail No.: ED 608 969 344 US

Sheet 1 of 3 of List of References

**LIST OF REFERENCES CITED BY APPLICANT**

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	PAGES, COLUMNS, LINES, WHERE RELEVANT PASSAGES OR RELEVANT FIGURES APPEAR
	A01	09/393,652	9/10/99	Srivastava	
	A02	2001-0034042	10/01	Srivastava	
	A03	2002-0001841	1/03/02	Kaltoft et al.	
	A04	2002-0028207	6/4/01	Srivastava	
	A05	2002-0037290	03/28/02	Armen	
	A06	2002-0172682	11/21/02	Srivastava	
	A07	2002-0192230	12/19/02	Srivastava	
	A08	2003-0129296	07/10/03	Srivastava	
	A09	2003-0211971	11/13/03	Srivastava	
	A10	2004-0022796	02/05/04	Srivastava	
	A11	2004-0253228	12/16/04	Srivastava	
	A12	2006-0165710	07/26/06	Srivastava	
	A13	4,690,915	9/1/87	Rosenberg	
	A14	5,112,298	5/12/1992	Prince et al.	
	A15	5,188,964	2/23/93	McGuire et al.	
	A16	5,232,833	8/3/93	Sanders et al.	
	A17	5,273,965	12/28/93	Kensil et al.	
	A18	5,348,945	9/20/94	Berberian et al.	
	A19	5,554,293	9/10/1996	Uhoch	
	A20	5,580,859	12/3/96	Felgner et al.	
	A21	5,637,082	6/10/1997	Pages et al.	
	A22	5,652,115	7/29/97	Marks et al.	
	A23	5,736,146	4/7/98	Cohen	
	A24	5,747,332	5/5/98	Wallen et al	
	A25	5,750,119	05/12/98	Srivastava	
	A26	5,830,464	11/03/98	Srivastava et al.	
	A27	5,846,928	12/8/1998	Kishida	
	A28	5,869,058	2/9/99	Cohen	
	A29	5,891,653	4/6/99	Attfield	
	A30	5,910,306	06/99	Alving et al.	

**EXAMINER****DATE CONSIDERED**

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO. <b>8449-178-999</b>	APPLICATION NO. <b>09/873,403</b>
	APPLICANT <b>Srivastava et al.</b>	
	FILING DATE <b>June 4, 2001</b>	ART UNIT <b>1643</b>

### U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	PAGES, COLUMNS, LINES, WHERE RELEVANT PASSAGES OR RELEVANT FIGURES APPEAR
	A31	5,947,646	07/19/99	Srivastava et al.	
	A32	5,968,526	10/19/99	Garman et al.	
	A33	5,997,873	12/7/99	Srivastava et al.	
	A34	6,007,821	12/28/99	Srivastava et al.	
	A35	6,027,731	2/22/2000	Pauza	
	A36	6,030,618	02/29/00	Srivastava	
	A37	6,033,561	3/7/2000	Schoendorfer	
	A38	6,048,530	4/11/00	Srivastava	
	A39	6,136,315	10/24/00	Srivastava	
	A40	6,156,311	12/05/00	Strickland et al.	
	A41	6,162,436	12/19/00	Srivastava	
	A42	6,168,793	1/2/01	Srivastava et al.	
	A43	6,312,711	11/6/01	Duchateau et al.	
	A44	6,333,311	12/25/2001	Nuijens et al.	
	A45	6,338,945	01/15/02	Nicolette	
	A46	6,403,092	6/11/02	Pizzo et al.	
	A47	6,433,141	8/13/02	Wallen et al.	
	A48	6,689,363	02/10/04	Sette et al.	
	A49	6,709,672	3/23/04	Henot et al.	
	A50	6,713,608	3/30/04	Wallen et al.	
	A51	6,730,302	5/4/04	Fujihara et al.	
	A52	6,797,480	9/28/04	Srivastava	
	A53	6,986,389	01/06	Li	
	A54	7,176,515	03/06/07	Srivastava et al.	
	A55	7,179,462	02/20/07	Srivastava et al.	
	A56	7,132,109	11/07/06	Srivastava	

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO. <b>8449-178-999</b>	APPLICATION NO. <b>09/873,403</b>
	APPLICANT <b>Srivastava et al.</b>	
	FILING DATE <b>June 4, 2001</b>	ART UNIT <b>1643</b>

### FOREIGN PATENT DOCUMENTS

	B01	DE 196 02 985 A1	1/27/96	Germany		
	B02	GB 2 251 186A	7/1/92	United Kingdom		
	B03	WO 00/03003	1/20/00	University of Nottingham		
	B04	WO 00/10597	03/02/00	Immunology Limited		
	B05	WO 00/34494	6/15/00	The Government of the United States of America represented by the Secretary, Dept. of Health and Human Services		
	B06	WO 00/38760	7/6/2000	Occulogix Corp		
	B07	WO 00/46246	8/10/00	The General Hospital Corp.		
	B08	WO 00/54801	9/21/2000	Entremed Inc		
	B09	WO 01/91787	6/12/01	University of Connecticut Health Center		
	B10	WO 01/92474	12/06/01	University of Connecticut Health Center		
	B11	WO 02/07755	1/3/2002	The General Hospital Corporation		
	B12	WO 02/11669	02/14/02	Antigenics, LLC		
	B13	WO 02/15930	2/28/02	Duke University		
	B14	WO 02/30434	4/18/02	University of Connecticut Health Center		
	B15	WO 02/32923	4/25/02	University of Connecticut Health Center		
	B16	WO 02/34205	5/2/02	University of Connecticut Health Center		
	B17	WO 03/015712	02/27/03	University of Connecticut Health Center		
	B18	WO 03/090686	11/06/03	University of Connecticut Health Center		
	B19	WO 03/092624	11/13/03	University of Connecticut Health Center		
	B20	WO 04/035602	04/29/04	University of Connecticut Health Center		
	B21	WO 04/075636	09/10/04	University of Connecticut Health Center		
	B22	WO 04/74454	09/02/04	University of Connecticut Health Center		
	B23	WO 05/120558	12/22/05	University of Connecticut Health Center		
	B24	WO 89/12455	12/28/89	Whitehead Institute for Biomedical Research Medical Research Council		

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE June 4, 2001	ART UNIT 1643

### FOREIGN PATENT DOCUMENTS

	B25	WO 90/02564	3/22/90	Codon Dragon		
	B26	WO 91/15572	10/17/91	The Wellcome Foundation Limited		
	B27	WO 92/01717	2/6/92	Burnie, James et al.		
	B28	WO 92/08484	5/29/92	University College London		
	B29	WO 92/08488	5/29/92	University College London		
	B30	WO 93/14118	7/22/93	Medical Research Council		
	B31	WO 93/17712	9/16/93	Biocine Sclavo Spa Rappuoli		
	B32	WO 93/18146	9/16/93	Institut National de la Sante et de la recherche medicale		
	B33	WO 93/18147	9/16/93	Institute Nazionale per lo studio e la cura dei tumori fondazione giovanni pascale		
	B34	WO 93/18150	9/16/93	Biocine S.P.A.		
	B35	WO 93/21529	10/28/93	Duke University		
	B36	WO 93/24136	12/9/93	Terman, David S.		
	B37	WO 94/03208	2/17/94	Yeda Research and Development Company, Ltd		
	B38	WO 94/04676	3/3/94	The Victoria University of Manchester		
	B39	WO 94/11513	5/26/94	Medical Research Council Colston		
	B40	WO 94/14471	7/7/1994	Washington University		
	B41	WO 94/29459	12/22/94	Whitehead Institute for Biomedical Research		
	B42	WO 97/04794	2/13/97	The American National Red Cross – The General Hospital Corporation		
	B43	WO 97/06685	2/27/97	Sloan-Kettering Institute for Cancer Research		
	B44	WO 97/06821	2/27/97	Sloan-Kettering Institute for Cancer Research		
	B45	WO 97/06828	2/27/97	Sloan-Kettering Institute for Cancer Research		
	B46	WO 97/10001	03/20/97	Fordham University		
	B47	WO 97/26910	7/31/97	Max-delbruck medizen milleck		
	B48	WO 98/42752	10/01/98	Brigham and Woman's Hospital Inc.		
	B49	WO 98/46739	7/23/97	Juridicial Foundation the Chemo-Sero-therapeutic Research Institute		
	B50	WO 99/29834	06/17/99	Fordham University		

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C08	ABBAS et al., 1991, Cellular and Molecular Immunology, W.B. Saunders Co., Philadelphia (Chapters 15-18)	
	C09	AGOSTONI et al., 1994, "Activation of complement and kinin systems after thrombolytic therapy in patients with acute myocardial infarction. A comparison between streptokinase and recombinant tissue-type plasminogen activator." Circulation. 90(6):2666-70.	
	C10	ALDOVINI et al., 1992, "The New Vaccines", <i>Technology Review</i> pp. 24-31	
	C11	AMATO et al., 1999, "Active Specific Immunotherapy in Patients with Renal Cell Carcinoma (RCC) Using Autologous Tumor Derived Heat Shock Protein-Peptide Complex-96 (HSPP-96) Vaccine" <i>American Society Clinical Oncology Meeting</i> , abstract 1278	
	C12	ANDERSEN, P. 1994, "Effective vaccination of mice against Mycobacterium tuberculosis infection with a soluble mixture of secreted mycobacterial proteins," <i>Infect. Immun.</i> 62(6):2536-44	
	C13	ANDUS et al., Synthesis of alpha 2-macroglobulin in rat hepatocytes and in a cell-free system. <i>FEBS Lett.</i> 1983 Jan 10;151(1):10-14	
	C14	ANTHONY et al., 1999, "Priming of CD8+ CTL effector cells in mice by immunization with a stress protein-influenza virus nucleoprotein fusion molecule," <i>Vaccine</i> 17(4):373-83	
	C15	BANCHEREAU et al., 1998, "Dendritic cells and the control of immunity," <i>Nature</i> 392:245-252	
	C16	BARRIOS et al., 1992, "Mycobacterial heat-shock proteins as carrier molecules. II: The use of the 70-kDa mycobacterial heat-shock protein as carrier for conjugated vaccines can circumvent the need for adjuvants and Bacillus Calmette Guerin priming," <i>Eur. J. Immunol.</i> 22(6):1365-72	
	C17	BARRIOS et al., 1994, "Heat shock proteins as carrier molecules: in vivo helper effect mediated by Escherichia coli GroEL and Dna K proteins requires cross-linking with antigen," <i>Clin. Exp. Immunol.</i> 98(2):229-233	
	C18	BARRIOS et al., 1994, "Specificity of antibodies induced after immunization of mice with the mycobacterial heat shock protein of 65 kD." <i>Clin Exp Immunol.</i> 98(2):224-8	
	C19	BARTLETT, 1972 "Effect Of Host Immunity On The Antigenic Strength Of Primary Tumors." <i>J. Natl. Cancer Inst.</i> 49:493-504	
	C20	BASOMBRIO (1970) "Search for common antigenicities among twenty-five sarcomas induced by methylcholanthrene", <i>The Institute for Cancer Research</i> 30:2458-2462	
	C21	BASU and SRIVASTAVA, 1999, "Calreticulin, a peptide-binding chaperone of the endoplasmic reticulum, elicits tumor- and peptide-specific immunity" <i>J. Exp. Med.</i> 189:797-802	
	C22	BASU et al., 2000, "Necrotic but not apoptotic cell death releases heat shock proteins, which deliver a partial maturation signal to dendritic cells and activate the NF-kappa B pathway," <i>Int. Immunol.</i> 12(11):1539-46	
	C23	BASU et al., 2001, "CD91 is a common receptor for heat shock proteins gp96, hsp90, hsp70, and calreticulin," <i>Immunity</i> 14:303-313	
	C24	BEDNAR et al., 1997, "Activation of complement by tissue plasminogen activator, but not acute cerebral ischemia, in a rabbit model of thromboembolic stroke." <i>J. Neurosurg.</i> 86(1):139-42.	
	C25	BELLONE et al., 1999, "Cancer Immunotherapy: synthetic and natural peptides in balance," <i>Immunology Today</i> 20(10): 457-462	
	C26	BEVERLY, 1988, "Tumour Immunology." In: <i>Immunology</i> , 3rd Edition, Roitt, Ed., Mosby, London, pp. 17.1-17.12	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

LIST OF REFERENCES CITED BY APPLICANT (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT	
	Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C27	BINDER and Srivastava, 2004, "Essential role of CD91 in re-presentation of gp96-chaperoned peptides," Proc. Natl. Acad. Sci. U.S.A. 101:6128-6133	
	C28	BINDER et al., 2000, "CD91: a receptor for heat shock protein gp96," Nature Immunol. 1(2):151-155	
	C29	BINDER et al., 2001, "Heat shock protein-chaperoned peptides but not free peptides introduced into the cytosol are presented efficiently by major histocompatibility complex I molecules," J. Biol. Chem. 276(20): 17163-17171	
	C30	BIRKENMEIER G., 2001, "Targeting the Proteinase Inhibitor and Immune Modulatory Function of Human $\alpha$ 2-Macroglobulin," Mod. Asp. Immunobiol. 2(1):32-36	
	C31	BLACHERE and SRIVASTAVA (1993) "Immunization with GP96 heat shock proteins isolated from tumors or influenza virus infected cells elicits MHC-restricted, antigen-specific cytotoxic T lymphocytes against the corresponding cells", <i>J. Cellular Biochem. Keystone Symposia</i> , 17D: pp. 124, Abstract NZ 502	
	C32	BLACHERE et al., 1993, "Heat Shock Protein Vaccines Against Cancer," <i>Journal of Immunotherapy</i> 14:352-356	
	C33	BLANDER et al., 1993, "Major cytoplasmic membrane protein of Legionella pneumophila, a genus common antigen and member of the hsp 60 family of heat shock proteins, induces protective immunity in a guinea pig model of Legionnaires' disease," J. Clin. Invest. 91(2):717-23	
	C34	BODEY et al., 2000, Anticancer Res 20:2665-2676 Abs	
	C35	BOSCH et al., 1999, "State of the art of therapeutic apheresis in Europe", Ther. Apher. 3(3):197-8	
	C36	BRELOER et al., 1999, "in vivo and in vitro activation of T cells after administration of Ag-negative heat shock proteins," J. Immunol. 162:3141-3147	
	C37	BUMOL et al., 1988 "Characterization Of The Human Tumor And Normal Tissue Reactivity Of The KS1/4 Monoclonal Antibody," <i>Hybridoma</i> 7:407-415	
	C38	CARSWELL et al., 1970, "Immunogenic Properties Of Reticulum Cell Sarcomas Of SJL/J Mice," <i>Natl. Cancer Inst.</i> 44:1281-1288	
	C39	CASSEL et al., 1977, "Viral oncolysate in the management of malignant melanoma. I. Preparation of the oncolysate and measurement of immunologic responses," Cancer 40:672-679	
	C40	CASSEL et al., 1983 "A Phase II Study On The Postsurgical Management Of Stage II Malignant Melanoma With A Newcastle Disease Virus Oncolysate," <i>Cancer</i> , 52:856-860	
	C41	CASTELLI et al., 2001, "Human Heat Shock Protein 70 Peptide Complexes Specifically Active Antimelanoma T cells," Cancer Res 61:222-227	
	C42	CHANDAWARKAR et al., 2004, "Immune modulation with high-dose heat shock protein gp96: therapy of murine autoimmune diabetes and encephalomyelitis," Int'l. Immunol. 16:315-324	
	C43	CHU et al., 1994, $\alpha$ 2-Macroglobulin: A Sensor for Proteolysis," Ann. N.Y. Acad. Sci. 737:291-307	
	C44	CLARKE et al. 1988, "Purification of Complexes of Nuclear Oncogene p53 with Rat and Escherichia coli Heat Shock Proteins: In Vitro Dissociation of hsc70 and dnaK from Murine p53 by ATP" Mol. and Cell. Biol. Vol. 8 (3) 1206-1215	
	C45	COLLEN et al., 1989, "Tissue-type plasminogen activator. A review of its pharmacology and therapeutic use as a thrombolytic agent." Drugs. 38(3):346-88.	
	C46	COSTANZO, 1996, "New monoclonal antibodies," Curr. Opin. Cardiol. 11(2):204-7	

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE June 4, 2001	ART UNIT 1643

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C47	CRAIG, 1993, "Chaperones: Helpers Along the Pathways to Protein Folding," <i>Science</i> 260:1902-4	
	C48	D'ANDREA, 2005, "Add Alzheimer's disease to the list of autoimmune diseases," <i>Med. Hypotheses</i> 64(3):458-463	
	C49	DASH, <i>et al.</i> , 2002 "Slow-Tight Binding Inhibition of Xylanase by an Aspartic Protease Inhibitor." <i>J. Biol. Chem.</i> 277:17978-17986	
	C50	DAVIDOFF <i>et al.</i> , 1992, "Immune response to p53 is dependent upon p53/HSP70 complexes in breast cancers	
	C51	DEL GIUDICE <i>et al.</i> , 1994, "Hsp70: a carrier molecule with built-in adjuvanticity", <i>Experientia</i> 30:50(11-12):1061-6	
	C52	DERMER, 1994, "Another Anniversary for the War on Cancer," <i>Biotechnology</i> 12:320	
	C53	DEUTSCHER <i>et al.</i> , 1992 "Guide to protein purification." <i>Meth. Enzymol.</i> , 182:610-611	
	C54	DUBOIS <i>et al.</i> , 1980, "Immunogenic properties of soluble cytosol fractions on Meth A sarcoma cells," <i>Cancer Res.</i> 40:4204-4208	
	C55	DUBOIS, <i>et al.</i> , 1982 "Purification and Biochemical Properties of Tumor-Associated Transplantation Antigens From Methylcholanthrene-Induced Murine Sarcomas." <i>Proc. Natl. Acad. Sci USA</i> , 79:7669-7673	
	C56	ELLGAARD ET AL., 1997, "Dissection of the domain architecture of the alpha2macroglobulin-receptor associated protein." <i>Eur. J. Biochem</i> 244:544-51	
	C57	EPPLEN <i>et al.</i> , 1997, "Genetic predisposition to multiple sclerosis as revealed by immunoprinting," <i>Ann. Neurol.</i> 41(3):341-52.	
	C58	ESPANA <i>et al.</i> , 1996, <i>Clin. Chem</i> 42(3):545-550	
	C59	ESTIN <i>et al.</i> , 1989, "Transfected mouse melanoma lines that express various levels of human melanoma-associated antigen p97," <i>J. Natl. Cancer Inst.</i> 81:445-448	
	C60	EVANS <i>et al.</i> , 1999, <i>Q.J. Med</i> 92:299-307	
	C61	FALK <i>et al.</i> , 1990, "Cellular Peptide Composition Governed by Major Histocompatibility Complex Class I Molecules", <i>Nature</i> 348:248-251	
	C62	FALK <i>et al.</i> , 1991, "Identification of Naturally Processed Viral Nonapeptides Allows Their Quantification in Infected Cells and Suggests an Allele-specific T Cell Epitope Forecast". <i>J Exp. Med</i> 174:425-434	
	C63	FALK <i>et al.</i> , 1991, "Allele-specific Motifs Revealed by Sequencing of Self-peptides Eluted from MHC Molecules", <i>Nature</i> 351:290-296	
	C64	FALK <i>et al.</i> , 1992, "Specificity of antigen processing for MHC class I restricted presentation is conserved between mouse and man", <i>Eur. J. Immunol.</i> 22:1323-1326	
	C65	FAY <i>et al.</i> , 1979, "Leukopheresis Therapy of Leukemic Reticuloendotheliosis (Hairy Cell Leukemia)", <i>Blood</i> 54: 747-749	
	C56	FEDWEG and SRIVASTAVA "Evidence for biochemical heterogeneity of gp96 heat shock protein/tumor rejection antigen", <i>Mount Sinai School of Medicine NZ</i> 206, p. 108	
	C67	FENG <i>et al.</i> , 2002, "Exogenous heat shock proteins provide adjuvant effects on enhancing the immunogenicity of apoptotic tumor cells and inducing antitumor immunity," <i>AACR 93<sup>rd</sup> Annual Meeting</i> , Vol. 43, April 6-10, Abstract #2214	
	C68	FERRERO <i>et al.</i> , 1995, The GroES homolog of <i>Helicobacter pylori</i> confers protective immunity against mucosal infection in mice. <i>Proc Natl Acad Sci USA</i> 92(14):6499-503	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



## LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C69	FLYNN et al., 1989, "Peptide binding and release by proteins implicated as catalysts of protein assembly", <i>Science</i> 245:385-390	
	C70	FLYNN et al., 1991, "Peptide-binding Specificity of the Molecular Chaperone BiP", <i>Nature</i> 353:726-730	
	C71	FORRESTER et al., 1983, "Effect of modified alpha 2macroglobulin on leucocyte locomotion and chemotaxis", <i>Immunology</i> 50(2):251-9	
	C72	FRESHNEY, 1983, "Culture of Animal Cells, A Manual of Basic Technique," Alan R. Liss Inc., New York p4	
	C73	GAIGER et al., 2000, "Immunity to WT1 in the animal model and in patients with acute myeloid leukemia," <i>Blood</i> 96(4):1480-1489	
	C74	GALLUCCI et al., 1999, "Natural adjuvants: endogenous activators of dendritic cells," <i>Nat. Med.</i> 5:1249-55	
	C75	GELBER et al., 1992, "Vaccination of mice with a soluble protein fraction of Mycobacterium leprae provides consistent and long-term protection against M. leprae infection," <i>Infect Immun.</i> 60(5):1840-4	
	C76	GELBER et al., 1994, "Vaccination with pure Mycobacterium leprae proteins inhibits M. leprae multiplication in mouse footpads," <i>Infect Immun.</i> 62(10):4250-5	
	C77	GOMEZ et al., 1991, "Protective efficacy of a 62-kilodalton antigen, HIS-62, from the cell wall and cell membrane of Histoplasma capsulatum yeast cells." <i>Infect Immun.</i> 59(12):4459-64	
	C78	GOMEZ et al., 1992, "An 80-kilodalton antigen from Histoplasma capsulatum that has homology to heat shock protein 70 induces cell-mediated immune responses and protection in mice," <i>Infect Immun.</i> 60(7):2565-71	
	C76	GOMEZ et al., 1995, "Vaccination with recombinant heat shock protein 60 from Histoplasma capsulatum protects mice against pulmonary histoplasmosis." <i>Infect Immun.</i> 63(7):2587-95	
	C80	GOTO AND TANZI, 2002, "The role of the low-density lipoprotein receptor-related protein (LRP1) in Alzheimer's Abeta generation," <i>J. Mol. Neurosci.</i> 19:37-41	
	C81	GRAHAM, et al. 1955,, "Antibodies Elicited by Cancer in Patients.", <i>Cancer</i> 8:409-416	
	C82	GRANER et al. 2000, "Immunoprotective activities of multiple chaperone proteins isolated from murine B-cell leukemia/lymphoma" <i>Clin. Can. Res.</i> 6:909	
	C83	GRANER et al., 2000, "Tumor-derived multiple chaperone enrichment by free-solution isoelectric focusing yields potent antitumor vaccines" <i>Cancer Immunol. Immunother.</i> 49:476	
	C84	GRANER et al., 2003, "Tumor-derived chaperone-rich cell lysates are effective therapeutic vaccines against a variety of cancers," <i>Cancer Immunol. Immunother.</i> 52(4):226-234	
	C85	GRIFFEN, Jr., et al. 1972, "Colon Carcinoma and Immunologic Phenomena." <i>Surgical Clinics of North America</i> , Vol. 52:839-846	
	C86	GROBMANN et al., 1997, "Active-Specific Immunotherapy Of Pancreatic Carcinoma: Usefulness Of Human Pancreatic Carcinomas In Preparing Autologous Tumor Vaccines." <i>Anticancer Res.</i> 17: 3117-3120	
	C87	HALEVY et al. 1990, "Different Tumor-Derived p53 Mutants Exhibit Distinct Biological Activities", <i>Science</i> Vol. 250 113-116	
	C88	HANOVER et al., 1986, "Monoclonal antibodies against a glycoprotein localized in coated pits and endocytic vesicles inhibit alpha2-macroglobulin binding and uptake", <i>J. of Biol. Chem.</i> 261(35): 16732-16737.	
	C89	HARLOW et al., 1988, "Antibodies: A Laboratory Manual" ch 6:139-243	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT <b>Srivastava et al.</b>	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C90	HEEB et al., 1995, "Prostate specific antigen-alpha 2-macroglobulin complexes in prostate cancer patient sera," <i>Biochem. Mol. Biol. Int.</i> 37(5):917-23	
	C91	HEISKALA et al., 1988 "Characteristics Of Soluble Tumour-Derived Proteins That Inhibit Natural Killer Activity." <i>Scand. J. Immunol.</i> 28:19-27	
	C92	HENTTU AND VIHKO, 1989 "cDNA Coding For The Entire Human Prostate Specific Antigen Shows High Homologies To The Human Tissue Kallikrein Genes." <i>Biochem. Biophys. Res. Comm.</i> 160:903-910	
	C93	HERZ AND STRICKLAND, 2001, "LRP: a multifunctional scavenger and signaling receptor," <i>J. Clin. Invest.</i> 108:779-784	
	C94	HERZ et al., 1990, "Low density lipoprotein receptor-related protein mediates endocytosis of monoclonal antibodies in cultured cells and rabbit liver", <i>J. of Biol. Chem.</i> 265(34): 21355-21362.	
	C95	HERZ et al., 1991, "39-kDa protein modulates binding of ligands to low density lipoprotein receptor-related protein/alpha-2-macroglobulin receptor." <i>J.Biol.Chem.</i> 266(31):21232-21238.	
	C96	HEY et al., 1988, "Cloning of a novel member of the low-density lipoprotein receptor family", <i>Gene</i> 216: 103-111.	
	C97	HINDS et al., 1987, "Immunological Evidence for the Association of p53 with a Heat Shock Protein, hsc70, in p53-plus-ras-Transformed Cell Lines" <i>Mol. and Cell. Biol.</i> Vol.7 (8) 2863-2869	

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT	
	Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

C98	HINDS et al., 1990, "Mutant p53 DNA Clones from Human Colon Carcinomas Cooperate with ras in Transforming Primary Rat Cells: A Comparison of the "Hot Spot" Mutant Phenotypes" Cell Growth and Differentiation Vol. 1 571-580
C99	HOLLINSHEAD, 1988, "Immunotherapy," in: <i>Cancer: The Outlaw Cell</i> , LaFond, ed., American Chemical Society, Washington, DC pp. 237-250 (Chapter 14)
C100	HORN et al., 1995, "Analysis of the binding of Pro-urokinase and urokinase-plasminogen activator inhibitor-1 complex to the low density lipoprotein receptor-related protein using a Fab fragment selected from a phage-displayed Fab library", J. of Biol. Chem. 270 (20): 11770-11775.
C101	HORWITZ et al., 1995, Protective immunity against tuberculosis induced by vaccination with major extracellular proteins of Mycobacterium tuberculosis. Proc Natl Acad Sci U S A. 92(5):1530-4
C102	HOUGHTEN et al., 1991, "Generation and use of synthetic peptide combinatorial libraries for basic research and drug discovery," Science 354:84-86
C103	HUBBARD et al., 1992, "Immunization of mice with mycobacterial culture filtrate proteins," Clin. Exp. Immunol. 87(1):94-8
C104	HUGHES et al., 1970, "A Study In Clinical Cancer Immunotherapy", <i>Cancer</i> , 26:269-278
C105	HUGHES et al., 1981, "Characterization of plasma membrane proteins identified by monoclonal antibodies", J. of Biol./ Chem. 256(2): 664-671.
C106	HUMPHREY et al., 1984, "Adjuvant immunotherapy for melanoma," J. Surg. Concol. 25:303-305
C107	HUNTER, N. et al., 1991, "Suppression of experimental allergic encephalomyelitis by alpha(2)-macroglobulin," Immunology 73:58-63
C108	ISAACS et al., 1988, "Use of anti-idiotypic antibodies to establish that monoclonal antibody 7H1 ID6 binds to the alpha2-macroglobulin receptor recognition site", J. Biol. Chem. 263(14): 6709-6714.
C109	ISHII et al., 1999, " Isolation of MHC class I-restricted tumor antigen peptide and its precursors associated with heat shock proteins hsp70, hsp90, and gp96", J Immunol. 162(3):1303-9
C110	ISRAELI et al., 1993, "Molecular Cloning Of A Complementary DNA Encoding A Prostate-Specific Membrane Antigen." <i>Cancer Res.</i> 53:227-230
C111	JAIN et al., 1994, "Barriers to drug delivery in solid tumors." Sc Am 171(1):58-65
C112	JAKOB et al., 1993, "Small Heat Shock Proteins Are Molecular Chaperones", <i>J. Biol. Chem.</i> 268:1517-1520
C113	JAMES, K., 1980, "Alpha (2) macroglobulin and its possible importance in immune systems," Trends in Biol. Sci. p.43-47
C114	JANETZKI et al., 2000, "Immunization of cancer patients with autologous cancer-derived heat shock protein gp96 preparations: a pilot study" <i>Int. J. of Cancer</i> 88:232-238
C115	JANEWAY, Travers, Walport, and Shlomchick, 2001, Immunobiology, 5th ed., Garland Publishing, New York (Part V, Sections 13-1 to 13-15)
C116	JARDETZKY et al., 1991, "Identification of Self Peptides Bound to Purified HLA-B27", <i>Nature</i> 353:326-329
C117	JINDAL et al., 1989, "Primary structure of a human mitochondrial protein homologous to the bacterial and plant chaperonins and to the 65-kilodalton mycobacterial antigen. Mol Cell Biol. 9(5):2279-83
C118	JOCHAM et al., 2004, "Adjuvant Autologous Renal Tumour Cell Vaccine and Risk of Tumour Progression in Patients with Renal-Cell Carcinoma After Radical Nephrectomy: Phase III, Randomised Controlled Trial." <i>The Lancet</i> , Vol 363:594-599

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE June 4, 2001	ART UNIT 1643

### NON PATENT LITERATURE DOCUMENTS

C119	KATSANIS et al., 2000, "Augmentation of Tumor Lysate Immunogenicity by enrichment of Chaperone Proteins Using Free Solution Isoelectric Focusing (FS-IEF)" <i>Keystone Symposia on Cellular Immunity and Immunotherapy of Cancer</i> , abstract 431	
C120	KATSUTANI et al., 1992, "Immunogenic properties of structurally modified human tissue plasminogen activators in chimpanzees and mice." <i>Fundam Appl Toxicol.</i> 19(4):555-62.	
C121	KIM et al., 1998, "A new low density lipoprotein receptor related protein, LRP5, is expressed in hepatocytes and adrenal cortex, and recognized apolipoprotein E", <i>J. Biochem.</i> 124: 1072-1076.	
C122	KIMBER et al., 2002, "Lactoferrin: influences on langerhans cells, epidermal cytokines, and cutaneous inflammation." <i>Biochem Cell Biol.</i> 2002;80(1):103-7.	
C123	KOJIMA et al., 2002, "Combination therapy of tumor-derived gp96 and GM-CSF or IL-12-gene transduced tumor cells in the control of LLC tumor," <i>AACR 93<sup>rd</sup> Annual Meeting</i> , Vol. 43, Abstract #5516	
C124	KOL et al., 2000, "Cutting edge: heat shock protein (HSP)60 activates the innate immune response: CD14 is an essential receptor for HSP60 activation of mononuclear cells", <i>J Immunol.</i> 164(1):13-17	
C125	KOO, 1982, "Characterization of growth-inhibitory activities associated with an alpha-macroglobulin of mice," <i>Cancer Res.</i> 42(5):1788-97	
C126	KORNFELD et al., 1980, "Plasmapheresis in Myasthenia Gravis," <i>Plasma Therapy</i> , 2(3): 127-133	
C127	KRIPKE, 1974 "Antigenicity Of Murine Skin Tumors Induced By Ultraviolet Light." <i>J. Natl. Cancer Inst.</i> 53:1333-1336	
C128	KRISTENSEN et al., 1990, "Evidence that the newly cloned low-density-lipoprotein receptor related protein (LRP) is the alpha 2-macroglobulin receptor", <i>FEBS Lett.</i> 276(1-2):151-5	
C129	KUHLMANN et al., 1997, "Drug Research: from the idea to the product," <i>International Journal of Pharmacology and Therapeutics</i> 35:541-552	
C130	LAKEY et al., 1987, "Identification of a peptide binding protein that plays a role in antigen presentation", <i>Proc. Natl. Acad. Sci. USA</i> 84:1659-1663	
C131	LANZAVECCHIA, 1993, "Identifying Strategies for Immune Intervention", <i>Science</i> 260:937-944	
C132	LÉVY, 1991, "ATP is Required for In Vitro Assembly of MHC Class I Antigens but Not for Transfer of Peptides across the ER Membrane", <i>Cell</i> 67:265-274	
C133	LI and SRIVASTAVA, 1993, "Tumor rejection antigen gp96/grp94 is an ATPase: Implications for protein folding and antigen presentation", <i>EMBO J.</i> 12(8):3143-3151	
C134	LIVINGSTON et al. 1985,, "Serological Response of Melanoma Patients to Vaccines Prepared from VSV Lysates of Autologous and Allogeneic Cultured Melanoma Cells." <i>Cancer</i> , 55:713-720	
C135	LODISH et al., <i>Molecular Cell Biology</i> , ch. 17.3 "Overview of the Secretory Pathway". pp 691-696, W.H. Freeman and Company 2000	
C136	LUESCHER et al., 1991, "Specific Binding of Antigenic Peptides to Cell-associated MHC Class I Molecules", <i>Nature</i> 351:72-77	
C137	LUKACS et al., 1993, "Tumor cells transfected with a bacterial heat-shock gene lose tumorigenicity and induce protection against tumors", <i>J. Exp. Med.</i> 178:343-348	
C138	LUSSOW et al., 1991, "Mycobacterial heat-shock proteins as carrier molecules", <i>Eur J Immunol.</i> 21(10):2297-302	
C139	MADDEN et al., 1991, "The Structure of HLA-B27 Reveals Nonamer Self-peptides Bound in an Extended Conformation", <i>Nature</i> 353:321-325	

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

C140	MAKI (1991) "The Human Homologue of the Mouse Tumor Rejection Antigen GP96", Ph.D. thesis, Cornell University	
C141	MARTIN et al., 1986, "Role of Murine Tumor Models in Cancer Treatment Research", Cancer Research 46:2189-2192	
C142	MATSUTAKE et al., 2001, "The immunoprotective MHC II epitope of a chemically induced tumor harbors a unique mutation in a ribosomal protein," PNAS 98(7):3992-3997	
C143	MELCHER et al., 1998, "Tumor immunogenicity is determined by the mechanism of cell death via induction of heat shock protein expression", Nat. Med. 5:581-7	
C144	MELIEF et al., 1992, "Lessons from T Cell Responses to Virus Induced Tumours for Cancer Eradication in General", Career Surveys 13:81-99	
C145	MELNICK, 1985, "Virus Vaccines: An Overview", Proceedings of the First Annual Southwest Foundation for Biomedical Research International Symposium, Houston, Texas, 8-10 November 1984, American Society for Microbiology pp. 1-13	
C146	MENORET and CHANDAWARKAR, 1998, "Heat-shock protein-based anticancer immunotherapy: an idea whose time has come" Semin. in Oncology 25:654	
C147	MENORET et al., 1995, "Co-segregation of tumor immunogenicity with expression of inducible but not constitutive hsp70 in rat colon carcinomas," J. Immunol. 155:740-7	
C149	MILLWARD AND HOELTGE, 1982, "The Historical Development of Automated Hemapheresis", J. of Clin. Apheresis 1: 25-32	
C149	MIZZEN et al., 1998, "Immune responses to stress proteins: applications to infectious disease and cancer," Biotherapy 10:173-185	
C150	MOESTRUP et al., 1990, "Immunocytochemical identification of the human alpha 2-macroglobulin receptor in monocytes and fibroblasts: monoclonal antibodies define the receptor as a monocyte differentiation antigen", Exper. Cell Res. 190: 195-203.	
C151	MOESTRUP et al., 1991, "Analysis of Ligand Recognition by the purified alpha-2M- macroglobulin receptor (low density lipoprotein receptor-related protein). J. Biol. Chem. 266(21):14011-14017.	
C152	MOROI et al., 2000, "Induction of Cellular Immunity by Immunization with Novel Hybrid Peptides Complexed to Heat Shock PRotein 70." Proc. Natl. Acad. Sci. 97(7):3485-3490	
C153	MSNBC News Services, 2000, "Mixed Results on new cancer drug."	
C154	MULÉ et al., 1984, "Adoptive Immunotherapy of Established Pulmonary Metastases with LAK Cells and Recombinant Interleukin-2", Science 225:1487-1489	
C155	MUNRO et al., 1986, "An Hsp70-like protein in the ER: identity with the 78 kd glucose-regulated protein and immunoglobulin heavy chain binding protein", Cell 46(2):291-300	
C156	MURRAY et al., 1977 "Viral Oncolysate in the Management of Malignant Melanoma II, Clinical Studies." Cancer 40:680-686	
C157	NAIR et al., 1977 "Antigen-Presenting Cells Pulsed With Unfractionated Tumor-Derived Peptides Are Potent Tumor Vaccines." Eur. J. Immunol. 27:589-597	
C158	NAIR et al., 1999, "Calreticulin displays in vivo peptide-binding activity and can elicit CTL responses against bound peptides" J. Immunol. 162:6426	
C159	NATALI et al., 1987 "Immunohistochemical Detection Of Antigen In Human Primary And Metastatic Melanomas By The Monoclonal Antibody 140.240 And Its Possible Prognostic Significance." Cancer, 59:55-63	

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

C160	NIELAND et al., 1996, "Isolation of an immunodominant viral peptide that is endogenously bound to the stress protein GP96/GRP94", Proc. Natl. Acad. Sci. USA 93:6135-6139	
C161	NORRBY, 1985, "Summary," in: <i>Vaccines 85</i> , Lerner et al., eds., Cold Spring Harbor Laboratory, Cold Spring Harbor, NY pp. 387-394	
C162	OETTGEN AND OLD, 1991 "The History Of Cancer Immunotherapy." In: <i>Introduction To The Biologic Therapy Of Cancer</i> , Devitta et al., Eds., Lippincott, Philadelphia, PA, pp.87-119 (Chapter 6)	
C163	OFFICE ACTION mailed on 02/26/02 for U.S. Application No. 09/625,137 filed 07/25/00	
C164	OFFICE ACTION mailed on 05/18/05 for U.S. Application No. 09/625,137 filed 07/25/00	
C165	OFFICE ACTION mailed on 10/05/04 for U.S. Application No. 09/625,137 filed 07/25/00	
C166	OFFICE ACTION mailed on 11/02/05 for U.S. Application No. 09/625,137 filed 07/25/00	
C167	OFFICE ACTION mailed on 12/31/02 for U.S. Application No. 09/625,137 filed 07/25/00	
C168	OFFICE ACTION mailed on 02/08/06 for U.S. Application No. 09/668,724 filed 09/22/00	
C169	OFFICE ACTION mailed on 02/25/03 for U.S. Application No. 09/668,724 filed 09/22/00	
C170	OFFICE ACTION mailed on 05/07/02 for U.S. Application No. 09/668,724 filed 09/22/00	
C171	OFFICE ACTION mailed on 06/20/07 for U.S. Application No. 09/668,724 filed 09/22/00	
C172	OFFICE ACTION mailed on 07/07/04 for U.S. Application No. 09/668,724 filed 09/22/00	
C173	OFFICE ACTION mailed on 09/21/06 for U.S. Application No. 09/668,724 filed 09/22/00	
C174	OFFICE ACTION mailed on 03/13/06 for U.S. Application No. 09/750,972 filed 12/28/00	
C175	OFFICE ACTION mailed on 06/05/02 for U.S. Application No. 09/750,972 filed 12/28/00	
C176	OFFICE ACTION mailed on 08/28/03 for U.S. Application No. 09/750,972 filed 12/28/00	
C177	OFFICE ACTION mailed on 01/11/06 for U.S. Application No. 10/225,367 filed 08/20/02	
C178	OFFICE ACTION mailed on 03/30/05 for U.S. Application No. 10/225,367 filed 08/20/02	
C179	OFFICE ACTION mailed on 04/18/07 for U.S. Application No. 10/225,367 filed 08/20/02	
C180	OFFICE ACTION mailed on 09/25/06 for U.S. Application No. 10/225,367 filed 08/20/02	
C181	OFFICE ACTION mailed on 10/19/07 for U.S. Application No. 10/225,367 filed 08/20/02	
C182	OFFICE ACTION mailed on 01/03/06 for U.S. Application No. 10/427,857 filed 05/01/03	
C183	OFFICE ACTION mailed on 10/15/07 for U.S. Application No. 10/546,106 filed 10/11/05	
C184	OFFICE ACTION mailed on 02/22/07 for U.S. Application No. 10/784,012 filed 02/20/04	
C185	OFFICE ACTION mailed on 08/07/06 for U.S. Application No. 10/784,012 filed 02/20/04	
C186	OFFICE ACTION mailed on 11/02/07 for U.S. Application No. 10/784,012 filed 02/20/04	
C187	OHASHI et al., 2000, Cutting edge: heat shock protein 60 is a putative endogenous ligand of the toll-like receptor-4 complex. J. Immunol. 164:558-561	
C188	OLD et al., 1962 "Part II. Antigens Of Tumor Cells. Antigenic Properties Of Chemically-Induced Tumors." <i>Ann. N.Y. Acad. Sci.</i> 101:80-106	
C189	OPEKUN et al., 1999, "Novel therapies for Helicobacter pylori infection." <i>Aliment Pharmacol Ther.</i> 13(1):35-42.	
C190	PAL P.G., et al., 1992, "Immunization with extracellular proteins of Mycobacterium tuberculosis induces cell-mediated immune responses and substantial protective immunity in a guinea pig model of pulmonary tuberculosis." <i>Infect Immun.</i> 60(11):4781-92	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

C191	PALLADINO et al., 1987, "Expression of shared tumor-specific antigen by two chemically induced BALB/c sarcomas", <i>Cancer Research</i> 47:5074-5079	
C192	PARDOLL, 2000, "Therapeutic vaccination for cancer", <i>Clin. Immunol.</i> 95(1 Pt 2): S44-62	
C193	PATTILLO, 1974 "Combination Chemotherapy-Immunotherapy Indirect Chemotherapy Sensitivity Testing and Specific and Non-Specific Immunostimulation." In: <i>Neoplasm Immunity: Theory and Application: Proceedings of a Chicago Symposium</i> , Crispen, Ed. ITR, Chicago, IL, pp. 189-204	
C194	PAUL, Ed., 1993 <i>Fundamental Immunology</i> , 3rd Edition, Raven Press, NY, p. 1158 and References 189-220 Cited On pp.1173-1174	
C195	PAUL. <i>Fundamental Immunology</i> . 1993 Third Edition, Raven Press, NY	
C196	PCT International Preliminary Examination Report mailed on 01/16/06 for Intl. Application No. PCT/US03/14390	
C197	PCT International Preliminary Examination Report mailed on 06/17/03 for Intl. Application No. PCT/US01/23098	
C198	PCT International Preliminary Examination Report mailed on 09/23/04 for Intl. Application No. PCT/US01/18041	
C199	PCT International Preliminary Examination Report mailed on 10/06/2005 for Intl. Application No. PCT/US02/26573	
C200	PCT International Preliminary Examination Report mailed on 10/11/06 for Intl. Application No. PCT/US2004/005110	
C201	PCT Written Opinion mailed on 10/11/06 for Intl. Application No. PCT/US2004/005110	
C202	PENG et al., 1997, "Purification of immunogenic heat shock protein 70-peptide complexes by ADP-affinity chromatography" <i>J. Immunol. Meth.</i> 204:13	
C203	PEREZ AND WALKER, 1989, "Isolation And Characterization Of A CcDNA Encoding The KS1/4 Epithelial Carcinoma Marker", <i>J. Immunol.</i> 142:3662-3667	
C204	PINEDA et al., 1994, "Applications of therapeutic apheresis," <i>Mayo Clin. Proc.</i> 69(9):893-4	
C205	PINHASI-KIMHI et al. 1986, "Specific interaction between the p53 cellular tumour antigen and major heat shock proteins", <i>Nature Vol 320 (13)</i> 182-184	
C206	PINILLA-Ibarz et al., 2000, "Vaccination of patients with chronic myelogenous leukemia with bcr-abl oncogene breakpoint fusion peptides generates specific immune responses," <i>Blood</i> 95(5):1781-1787	
C207	PREHN AND MAIN, 1957 "Immunity To Methylcholanthrene-Induced Sarcomas." <i>J. Natl. Cancer Inst.</i> 18:769-778	
C208	PROUD, G. et al., 1979, "Blood transfusion and renal transplantation," <i>Br. J. Sur.</i> 66:678-82	
C209	RAPLEY, 1995, "The biotechnology and applications of antibody engineering," <i>Mol. Biotechnol.</i> 3(2):139-54	
C210	REED et al., 1990, "Low incidence of antibodies to recombinant human tissue-type plasminogen activator in treated patients." <i>Thromb Haemost.</i> 64(2):276-80.	
C211	REPMANN et al. 1997 "Adjuvant Therapy Of Renal Cell Carcinoma With Active-Specific-Immunotherapy (ASI) Using Autologous Tumor Vaccine." <i>Anticancer Res.</i> 17:2879-2882	
C211	REPORT of the AMA Panel on Therapeutic Plasmapheresis, Current Status of Therapeutic Plasmapheresis and Related Techniques, December 1984	
C213	ROGERS et al., 1981, "Some immunogenic acid biochemical properties of tumor-associated transplantation antigens (TATA) obtained in soluble form or solubilized from two methylcholanthrene-induced sarcomas, Meth A and CI-4," <i>Int. J. Cancer</i> 27:789-796	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE June 4, 2001	ART UNIT 1643

### NON PATENT LITERATURE DOCUMENTS

	C214	ROTHMAN, 1989, "Polypeptide Chain Binding Proteins: Catalysts of Protein Folding and Related Processes in Cells", <i>Cell</i> 59:591-601	
	C215	RÖTZSCHKE et al., 1990, "Isolation and Analysis of Naturally Processed Viral Peptides as Recognized by Cytotoxic T cells", <i>Nature</i> 348:248-251	
	C216	ROTZSCHKE, 1990, "Characterization of Naturally Occurring Minor Histocompatibility Peptides including H-4 and H-Y" <i>Science</i> 249: 283-287	
	C217	SALK et al., 1993, "A Strategy for Prophylactic Vaccination Against HIV", <i>Science</i> 260:1270-1272	
	C218	SALLUSTO et al., 1994, "Efficient presentation of soluble antigen by cultured human dendritic cells is maintained by granulocyte/macrophage colony-stimulating factor plus interleukin 4 and downregulated by tumor necrosis factor alpha," <i>J. Exp. Med.</i> 179(4):1109-1118	
	C219	SANO et al., 1987, "The augmentation of tumor-specific immunity using haptenic muramyl dipeptide (MDP) derivatives. II. Establishment of tumor-specific immunotherapy models utilizing MDP hapten-reactive helper T cell activity," <i>Cancer Immunol. Immunother.</i> 25(3):180-184	
	C220	SAUTER et al., 2000, "Consequences of cell death: exposure to necrotic tumor cells, but not primary tissue cells or apoptotic cells, induces the maturation of immunostimulatory dendritic cells", <i>J. Exp. Med.</i> 191:423-434	
	C221	SCHREIBER, 1989 "Tumor Immunology." In: <i>Fundamental Immunology</i> , 2nd Edition, Paul, ed. , pp; 923-955	
	C222	SCHUMACHER et al., 1991, "Peptide Selection by MHC Class I Molecules", <i>Nature</i> 350:703-706	
	C223	SENGUPTA et al., 2004, "Heat shock protein-mediated cross-presentation of exogenous HIV antigen on HLA Class I and Class II," <i>J. Immunol.</i> 173:1987-1993	
	C224	SILVA et al., 1994, "A single mycobacterial protein (hsp 65) expressed by a transgenic antigen-presenting cell vaccinates mice against tuberculosis", <i>Immunology</i> 82(2):244-8	
	C225	SINGH, 1997, "Neuroautoimmunity: pathogenic implications for Alzheimer's disease," <i>Gerontology</i> 43:79-94	
	C226	SMORODIN et al., 1991, "The complex of $\alpha$ -2 Macroglobulin with CD2 in the Plasma of Gastric Carcinoma Patients." <i>Scand J. Immunol</i> 33:699-706	
	C227	SORGER and PELHAM, 1987, "The glucose-regulated protein grp94 is related to heat shock protein hsp90", <i>J. Mol. Biol.</i> 194(2):341-4	
	C228	SOTGIU et al., 1998, "Genetic susceptibility to multiple sclerosis in Sardinians: an immunological study," <i>Acta. Neurol. Scand.</i> 98(5):314-7	
	C229	SPARKS et al., 1976, "Immunology and adjuvant chemoimmunotherapy of breast cancer," <i>Arch. Surg.</i> 111:1057-1062	
	C230	SPERO et al., 1980, "Plasma Exchange in Preparation of Mild Factor IX Deficient Hemophiliacs for Surgical Procedures," 19-22	
	C231	SRIVASTAVA and HEIKE, 1986, "Tumor-specific immunogenicity of stress-induced proteins: Convergence of two evolutionary pathways of antigen presentation?", <i>Seminars in Immunology</i> 3:57-64	
	C232	SRIVASTAVA and OLD (1989) "Gp96 Molecules: Recognition Elements in Tumor Immunity", <i>Human Tumor Antigens and Specific Tumor Therapy</i> , pages 63-71	
	C233	SRIVASTAVA and UDONO, 1994, "Heat shock protein-peptide complexes in cancer immunotherapy" <i>Curr. Opin. Immunol.</i> 6:728	
	C234	SRIVASTAVA et al. (1990) "Immunization with Soluble Gp96 Antigens Elicits Tumor-Specific Cellular Immunity:, Cellular Immunity and the Immunotherapy of Cancer, pages 307-314	

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE June 4, 2001	ART UNIT 1643

### NON PATENT LITERATURE DOCUMENTS

C235	SRIVASTAVA et al., 1984, "The Serologically Unique Cell Surface Antigen of Zajdela Ascitic Hepatoma is also its Tumor-Associated Transplantation Antigen", <i>Int. J. Cancer</i> 33:417-422	
C236	SRIVASTAVA et al., 1987, "5'-structural analysis of genes encoding polymorphic antigens of chemically induced tumors." <i>Proc. Natl. Acad. Sci USA</i> 84(11):3807-3811	
C237	SRIVASTAVA et al., 1988, "Individually distinct transplantation antigens of chemically induced mouse tumors," <i>Immunol. Today</i> 9:78-83	
C238	SRIVASTAVA et al., 1989, "Identification of a Human Homologue of the Murine Tumor Rejection Antigen GP96," <i>Cancer Res.</i> 49:1341-1343	
C239	SRIVASTAVA et al., 1991, "Protein Tumor Antigens", <i>Curr. Opin. Immunol.</i> 3:654-658	
C240	SRIVASTAVA et al., 1993, "Evidence for peptide-chaperoning by the endoplasmic reticular heat shock protein GP96: Implications for vaccination against cancer and infectious diseases", <i>J Cell Biochem Suppl</i> 17D:94 (Abstract NZ014)	
C241	SRIVASTAVA et al., 1998, "Heat shock proteins come of age: primitive functions acquire new roles in an adaptive world", <i>Immunity</i> 8(6):657-65	
C242	SRIVASTAVA PK, 1994, "Heat shock proteins in immune response to cancer: the Fourth Paradigm", <i>Experientia.</i> (11-12):1054-60	
C243	SRIVASTAVA, 1993, "Peptide-Binding Heat Shock Proteins in the Endoplasmic Reticulum: Role in Immune Response to Cancer and in Antigen Presentation," <i>Adv. Cancer Res.</i> 62:153-177	
C244	SRIVASTAVA, 2002, "Roles of heat-shock proteins in innate and adaptive immunity," <i>Nature Rev. Immunol.</i> 2(3): 185-194	
C245	STACK et al., 1982, "Autologous x-irradiated tumour cells and percutaneous BCG in operable lung cancer," <i>Thorax</i> 37(8):588-593	
C246	STEINMAN, L., 2001, "Myelin-specific CD8+ T cells in the pathogenesis of experimental allergic encephalitis and multiple sclerosis," <i>J. Exp. Med.</i> 194:F27-F30	
C247	STENMAN et al., 1991, "A complex between prostate-specific antigen and alpha 1-antichymotrypsin is the major form of prostate-specific antigen in serum of patients with prostatic cancer: assay of the complex improves clinical sensitivity for cancer," <i>Cancer Res.</i> 51(1):222-6	
C248	STEVENSON, 1999, "DNA vaccines against cancer: from genes to therapy," <i>Ann. Oncol.</i> 10:1413-8 Review	
C249	SUBBARAO et al., 1992, "A General Overview of Viral Vaccine Development," <i>Genetically Engineered Vaccines</i> 327:51-57	
C250	SUZUE et al., 1997, "Heat shock fusion proteins as vehicles for antigen delivery into the major histocompatibility complex class I presentation pathway," <i>Proc. Natl. Acad. Sci. USA</i> 94(24):13146-51	
C251	SUZUE K., Young R.A., 1996, "Heat shock proteins as immunological carriers and vaccines. in: Stress-Inducible Cellular Responses" (U. Feige, R. I. Morimoto, I. Yahara, B. S. Polla, eds.), Birkhauser/Springer, 77: 451-465	
C252	SUZUE K., Young R.A., 1996, "Adjuvant-free hsp70 fusion protein system elicits humoral and cellular immune responses to HIV-1" p24. <i>J Immunol.</i> 156(2):873-9	
C253	TAILOR et al., 1990, "Nucleotide Sequence Of Human Prostatic Acid Phosphatase Determined From A Full-Length cDNA Clone." <i>Nucl. Acids Res.</i> 18:4928 (1990)	
C254	TAIT, BD, 1990, "Genetic susceptibility to type I diabetes: a review," <i>J. Autoimmun.</i> 3 Suppl. 1:3-11	
C255	THE MERCK MANUAL of Diagnosis and Therapy, 1999, Beers and Berkow eds., Merck Research Laboratories, Whitehouse Station N.J., pp. 1871 and 1872	

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

LIST OF REFERENCES CITED BY APPLICANT (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT	
	Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

## NON PATENT LITERATURE DOCUMENTS

C256	THOMAS et al., 1982, "Molecular and Cellular Effects of Heat Shock and Related Treatments of Mammalian Tissue-Culture Cells", <i>Cold Springs Harbor Symp Quant Biol</i> 46:985-996	
C257	TODRYK et al., 1999, "Heat shock protein 70 induced during tumor cell killing induces Th1 cytokines and targets immature dendritic cell precursors to enhance antigen uptake," <i>J. Immunol.</i> 163:1398-1408	
C258	TWINING et al., 1977, "Large scale separation of protease inhibitors from malignant human breast tissue," <i>Mol. Cell. Biochem.</i> 18(2-3):101-7	
C259	UDONO et al., 1994, "Comparison of Tumor-Specific Immunogenicities of Stress-Induced Proteins gp96, hsp90, and hsp70," <i>J. Immunol.</i> , 152(11):5398-5403	
C260	UDONO, 1993, "Heat shock proteins HSP70, HSP90 and GP96 elicit tumor specific immunity to the tumors from which they are isolated", <i>J. Cell. Biochem. Suppl.</i> 17D:113 (Abstract NZ225)	
C261	ULLRICH et al., 1986, "A mouse tumor-specific transplantation antigen is a heat shock-related protein," <i>Proc. Natl. Acad. Sci. USA</i> 83(10):3121-3125	
C262	URBANIAK AND ROBINSON, 1990, "ABC of transfusion. Therapeutic apheresis," <i>BMJ</i> 300(6725):662-5 Review	
C264	VAAGE, 1968 "Nonvirus-Associated Antigens In Virus-Induced Mouse Mammary Tumors." <i>Cancer Res.</i> 28:2477-2483	
C264	VANBUSKIRK et al., 1989, "Peptide binding protein having a role in antigen presentation is a member of the hsp70 heat shock family", <i>J. Exp. Med.</i> 170:1799-1809	
C265	VIJAYASARADHI et al., 1990 "The Melanoma Antigen gp75 Is The Human Homologue Of The Mouse b (Brown) Locus Gene Product." <i>J. Exp. Med.</i> 171:1375-1380	
C266	WALLNY et al., 1992, "Gene transfer experiments imply instructive role of major histocompatibility complex class I molecules in cellular peptide processing". <i>Eur. J. Immunol</i> 22:655-659	
C267	WANG et al., 2001, "Characterization of heat shock protein 110 and glucose-regulated protein 170 as cancer vaccines and the effect of fever-range hyperthermia on vaccine activity," <i>J. Immunol.</i> 166(1):490-497	
C268	WARSHAWAKY et al., 1993, "Identification of domains in the 39-kDa protein that inhibit the binding of ligands to the low density lipoprotein receptor-related protein," <i>J. Biol. Chem.</i> 268(29):22046-22054.	
C269	WEINER et al., 1980, "Plasmapheresis in multiple sclerosis: preliminary study," <i>Neurology</i> 30: 1029-33	
C270	WEINER et al., 2002, "Inflammation and therapeutic vaccination in CNS diseases," <i>Nature</i> 420:879-884	
C271	WELCH et al., 1982, "Purification of the Major Mammalian Heat Shock Proteins", <i>J. Biol. Chem.</i> 257:14949-14959	
C272	WELCH et al., 1985, "Rapid Purification of Mammalian 70,000-Dalton Stress Proteins: Affinity of the Proteins for Nucleotides", <i>Mol. Cell. Biol.</i> 5:1229-1237	
C273	WELCH et al., 1995, "Morphological study of the mammalian stress response: characterization of changes in cytoplasmic organelles, cytoskeleton, and nucleoli, and appearance of intranuclear actin filaments in rat fibroblasts after heat-shock treatment," <i>J. Cell. Biol.</i> 101:1198-1211	
C274	WELCH, 1993, "How Cells Respond to Stress," <i>Scientific American</i> 268(5):56-64	
C275	WILLNOW et al., 1996, "The low-density-lipoprotein receptor-related protein (LRP) is processed by furin in vivo and in vitro." <i>The Biochemical Journal. England</i> 313:71-76	
C275	WONG et al., 1991, "Susceptibility to type I diabetes in women is associated with the CD3 epsilon locus on chromosome 11," <i>Clin. Exp. Immunol.</i> 83(1):69-73	
C277	XIAO et al., 1995, "Characterization of hormonogenic sites in an N-terminal, cyanogen bromide fragment of human thyroglobulin." <i>Arch Biochem Biophys.</i> 20:320(1):96-105	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

NON PATENT LITERATURE DOCUMENTS			
	C278	YAMAUCHI et al., 2000, "Oral administration of bovine lactoferrin for treatment of tinea pedis. A placebo-controlled, double-blind study." <i>Mycoses</i> .43(5):197-202.	
	C279	YANG et al., 1999, "Murine dendritic cells transfected with human GP100 elicit both antigen-specific CD8+ and CD4+ T-cell responses and are more effective than DNA vaccines at generating anti-tumor immunity," <i>Int. J. Cancer</i> 83:532-540	
	C280	YEDAVELLI et al., 1999, "Preventive and therapeutic effect of tumor derived heat shock protein, gp96, in an experimental prostate cancer model" <i>Int. J. Mol. Med.</i> 3:243	
	C281	YU et al., 1991, "Sequence Analysis of Peptides Bound to MHC Class II Molecules", <i>Nature</i> 353:622-627	
	C282	ZIMECKI et al., 1998, "Immunoregulatory effects of a nutritional preparation containing bovine lactoferrin taken orally by healthy individuals." <i>Arch Immunol Ther Exp (Warsz)</i> . 46(4):231-40.	
	C283	ZIMECKI et al., 1999, "Lactoferrin increases the output of neutrophil precursors and attenuates the spontaneous production of TNF-alpha and IL-6 by peripheral blood cells." <i>Arch Immunol Ther Exp (Warsz)</i> . 47(2):113-8.	

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Express Mail No.: ED 608.969.344 US

Sheet 1 of 3 of List of References

**LIST OF REFERENCES CITED BY APPLICANT**

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	PAGES, COLUMNS, LINES, WHERE RELEVANT PASSAGES OR RELEVANT FIGURES APPEAR
	A01	09/393,652	9/10/99	Srivastava	
	A02	2001-0034042	10/01	Srivastava	
	A03	2002-0001841	1/03/02	Kaltoft et al.	
	A04	2002-0028207	6/4/01	Srivastava	
	A05	2002-0037290	03/28/02	Armen	
	A06	2002-0172682	11/21/02	Srivastava	
	A07	2002-0192230	12/19/02	Srivastava	
	A08	2003-0129296	07/10/03	Srivastava	
	A09	2003-0211971	11/13/03	Srivastava	
	A10	2004-0022796	02/05/04	Srivastava	
	A11	2004-0253228	12/16/04	Srivastava	
	A11	2006-0165710	07/26/06	Srivastava	
	A13	4,690,915	9/1/87	Rosenberg	
	A14	5,112,298	5/12/1992	Prince et al.	
	A15	5,188,964	2/23/93	McGuire et al.	
	A16	5,232,833	8/3/93	Sanders et al.	
	A17	5,273,965	12/28/93	Kensil et al.	
	A18	5,348,945	9/20/94	Berberian et al.	
	A19	5,554,293	9/10/1996	Uhoch	
	A20	5,580,859	12/3/96	Felgner et al.	
	A21	5,637,082	6/10/1997	Pages et al.	
	A22	5,652,115	7/29/97	Marks et al.	
	A23	5,736,146	4/7/98	Cohen	
	A24	5,747,332	5/5/98	Wallen et al	
	A25	5,750,119	05/12/98	Srivastava	
	A26	5,830,464	11/03/98	Srivastava et al.	
	A27	5,846,928	12/8/1998	Kishida	
	A28	5,869,058	2/9/99	Cohen	
	A29	5,891,653	4/6/99	Attfield	
	A30	5,910,306	06/99	Alving et al.	

**EXAMINER****DATE CONSIDERED**

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Express Mail No.: ED 608 969 344 US

Sheet 2 of 3 of List of References

**LIST OF REFERENCES CITED BY APPLICANT**  
(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	PAGES, COLUMNS, LINES, WHERE RELEVANT PASSAGES OR RELEVANT FIGURES APPEAR
	A31	5,947,646	07/19/99	Srivastava et al.	
	A32	5,968,526	10/19/99	Garman et al.	
	A33	5,997,873	12/7/99	Srivastava et al.	
	A34	6,007,821	12/28/99	Srivastava et al.	
	A35	6,027,731	2/22/2000	Pauza	
	A36	6,030,618	02/29/00	Srivastava	
	A37	6,033,561	3/7/2000	Schoendorfer	
	A38	6,048,530	4/11/00	Srivastava	
	A39	6,136,315	10/24/00	Srivastava	
	A40	6,156,311	12/05/00	Strickland et al.	
	A41	6,162,436	12/19/00	Srivastava	
	A42	6,168,793	1/2/01	Srivastava et al.	
	A43	6,312,711	11/6/01	Duchateau et al.	
	A44	6,333,311	12/25/2001	Nuijens et al.	
	A45	6,338,945	01/15/02	Nicolette	
	A46	6,403,092	6/11/02	Pizzo et al.	
	A47	6,433,141	8/13/02	Wallen et al.	
	A48	6,689,363	02/10/04	Sette et al.	
	A49	6,709,672	3/23/04	Henot et al.	
	A50	6,713,608	3/30/04	Wallen et al.	
	A51	6,730,302	5/4/04	Fujihara et al.	
	A52	6,797,480	9/28/04	Srivastava	
	A53	6,986,389	01/06	Li	
	A54	7,176,515	03/06/07	Srivastava et al.	
	A55	7,179,462	02/20/07	Srivastava et al.	
	A56	7,132,109	11/07/06	Srivastava	

**EXAMINER****DATE CONSIDERED**

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**LIST OF REFERENCES CITED BY APPLICANT**  
(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**FOREIGN PATENT DOCUMENTS**

	B01	DE 196 02 985 A1	1/27/96	Germany		
	B02	GB 2 251 186A	7/1/92	United Kingdom		
	B03	WO 00/03003	1/20/00	University of Nottingham		
	B04	WO 00/10597	03/02/00	Immunology Limited		
	B05	WO 00/34494	6/15/00	The Government of the United States of America represented by the Secretary, Dept. of Health and Human Services		
	B06	WO 00/38760	7/6/2000	Occulogix Corp		
	B07	WO 00/46246	8/10/00	The General Hospital Corp.		
	B08	WO 00/54801	9/21/2000	Entremed Inc		
	B09	WO 01/91787	6/12/01	University of Connecticut Health Center		
	B10	WO 01/92474	12/06/01	University of Connecticut Health Center		
	B11	WO 02/07755	1/3/2002	The General Hospital Corporation		
	B12	WO 02/11669	02/14/02	Antigenics, LLC		
	B13	WO 02/15930	2/28/02	Duke University		
	B14	WO 02/30434	4/18/02	University of Connecticut Health Center		
	B15	WO 02/32923	4/25/02	University of Connecticut Health Center		
	B16	WO 02/34205	5/2/02	University of Connecticut Health Center		
	B17	WO 03/015712	02/27/03	University of Connecticut Health Center		
	B18	WO 03/090686	11/06/03	University of Connecticut Health Center		
	B19	WO 03/092624	11/13/03	University of Connecticut Health Center		
	B20	WO 04/035602	04/29/04	University of Connecticut Health Center		
	B21	WO 04/075636	09/10/04	University of Connecticut Health Center		
	B22	WO 04/74454	09/02/04	University of Connecticut Health Center		
	B23	WO 05/120558	12/22/05	University of Connecticut Health Center		
	B24	WO 89/12455	12/28/89	Whitehead Institute for Biomedical Research Medical Research Council		

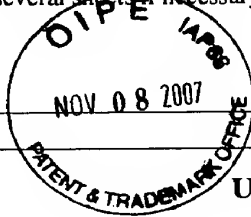
EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**LIST OF REFERENCES CITED BY APPLICANT**

(Use several sheets if necessary)



ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	PAGES, COLUMNS, LINES, WHERE RELEVANT PASSAGES OR RELEVANT FIGURES APPEAR
	A01	09/393,652	9/10/99	Srivastava	
	A02	2001-0034042	10/01	Srivastava	
	A03	2002-0001841	1/03/02	Kaltoft et al.	
	A04	2002-0028207	6/4/01	Srivastava	
	A05	2002-0037290	03/28/02	Armen	
	A06	2002-0172682	11/21/02	Srivastava	
	A07	2002-0192230	12/19/02	Srivastava	
	A08	2003-0129296	07/10/03	Srivastava	
	A09	2003-0211971	11/13/03	Srivastava	
	A10	2004-0022796	02/05/04	Srivastava	
	A11	2004-0253228	12/16/04	Srivastava	
	A12	2006-0165710	07/26/06	Srivastava	
	A13	4,690,915	9/1/87	Rosenberg	
	A14	5,112,298	5/12/1992	Prince et al.	
	A15	5,188,964	2/23/93	McGuire et al.	
	A16	5,232,833	8/3/93	Sanders et al.	
	A17	5,273,965	12/28/93	Kensil et al.	
	A18	5,348,945	9/20/94	Berberian et al.	
	A19	5,554,293	9/10/1996	Uhoch	
	A20	5,580,859	12/3/96	Felgner et al.	
	A21	5,637,082	6/10/1997	Pages et al.	
	A22	5,652,115	7/29/97	Marks et al.	
	A23	5,736,146	4/7/98	Cohen	
	A24	5,747,332	5/5/98	Wallen et al	
	A25	5,750,119	05/12/98	Srivastava	
	A26	5,830,464	11/03/98	Srivastava et al.	
	A27	5,846,928	12/8/1998	Kishida	
	A28	5,869,058	2/9/99	Cohen	
	A29	5,891,653	4/6/99	Attfield	
	A30	5,910,306	06/99	Alving et al.	

**EXAMINER****DATE CONSIDERED**

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**LIST OF REFERENCES CITED BY APPLICANT**

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	PAGES, COLUMNS, LINES, WHERE RELEVANT PASSAGES OR RELEVANT FIGURES APPEAR
	A31	5,947,646	07/19/99	Srivastava et al.	
	A32	5,968,526	10/19/99	Garman et al.	
	A33	5,997,873	12/7/99	Srivastava et al.	
	A34	6,007,821	12/28/99	Srivastava et al.	
	A35	6,027,731	2/22/2000	Pauza	
	A36	6,030,618	02/29/00	Srivastava	
	A37	6,033,561	3/7/2000	Schoendorfer	
	A38	6,048,530	4/11/00	Srivastava	
	A39	6,136,315	10/24/00	Srivastava	
	A40	6,156,311	12/05/00	Strickland et al.	
	A41	6,162,436	12/19/00	Srivastava	
	A42	6,168,793	1/2/01	Srivastava et al.	
	A43	6,312,711	11/6/01	Duchateau et al.	
	A44	6,333,311	12/25/2001	Nuijens et al.	
	A45	6,338,945	01/15/02	Nicolette	
	A46	6,403,092	6/11/02	Pizzo et al.	
	A47	6,433,141	8/13/02	Wallen et al.	
	A48	6,689,363	02/10/04	Sette et al.	
	A49	6,709,672	3/23/04	Henot et al.	
	A50	6,713,608	3/30/04	Wallen et al.	
	A51	6,730,302	5/4/04	Fujihara et al.	
	A52	6,797,480	9/28/04	Srivastava	
	A53	6,986,389	01/06	Li	
	A54	7,176,515	03/06/07	Srivastava et al.	
	A55	7,179,462	02/20/07	Srivastava et al.	
	A56	7,132,109	11/07/06	Srivastava	

**EXAMINER****DATE CONSIDERED**

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



**LIST OF REFERENCES CITED BY APPLICANT**

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**FOREIGN PATENT DOCUMENTS**

	B01	DE 196 02 985 A1	1/27/96	Germany		
	B02	GB 2 251 186A	7/1/92	United Kingdom		
	B03	WO 00/03003	1/20/00	University of Nottingham		
	B04	WO 00/10597	03/02/00	Immunology Limited		
	B05	WO 00/34494	6/15/00	The Government of the United States of America represented by the Secretary, Dept. of Health and Human Services		
	B06	WO 00/38760	7/6/2000	Occulogix Corp		
	B07	WO 00/46246	8/10/00	The General Hospital Corp.		
	B08	WO 00/54801	9/21/2000	Entremed Inc		
	B09	WO 01/91787	6/12/01	University of Connecticut Health Center		
	B10	WO 01/92474	12/06/01	University of Connecticut Health Center		
	B11	WO 02/07755	1/3/2002	The General Hospital Corporation		
	B12	WO 02/11669	02/14/02	Antigenics, LLC		
	B13	WO 02/15930	2/28/02	Duke University		
	B14	WO 02/30434	4/18/02	University of Connecticut Health Center		
	B15	WO 02/32923	4/25/02	University of Connecticut Health Center		
	B16	WO 02/34205	5/2/02	University of Connecticut Health Center		
	B17	WO 03/015712	02/27/03	University of Connecticut Health Center		
	B18	WO 03/090686	11/06/03	University of Connecticut Health Center		
	B19	WO 03/092624	11/13/03	University of Connecticut Health Center		
	B20	WO 04/035602	04/29/04	University of Connecticut Health Center		
	B21	WO 04/075636	09/10/04	University of Connecticut Health Center		
	B22	WO 04/74454	09/02/04	University of Connecticut Health Center		
	B23	WO 05/120558	12/22/05	University of Connecticut Health Center		
	B24	WO 89/12455	12/28/89	Whitehead Institute for Biomedical Research Medical Research Council		

**EXAMINER****DATE CONSIDERED**

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

## LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

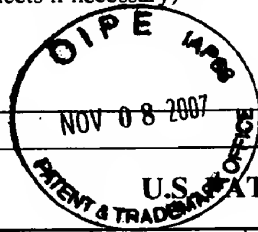
Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643



## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	PAGES, COLUMNS, LINES, WHERE RELEVANT PASSAGES OR RELEVANT FIGURES APPEAR
	A01	09/393,652	9/10/99	Srivastava	
	A02	2001-0034042	10/01	Srivastava	
	A03	2002-0001841	1/03/02	Kaltoft et al.	
	A04	2002-0028207	6/4/01	Srivastava	
	A05	2002-0037290	03/28/02	Armen	
	A06	2002-0172682	11/21/02	Srivastava	
	A07	2002-0192230	12/19/02	Srivastava	
	A08	2003-0129296	07/10/03	Srivastava	
	A09	2003-0211971	11/13/03	Srivastava	
	A10	2004-0022796	02/05/04	Srivastava	
	A11	2004-0253228	12/16/04	Srivastava	
	A12	2006-0165710	07/26/06	Srivastava	
	A13	4,690,915	9/1/87	Rosenberg	
	A14	5,112,298	5/12/1992	Prince et al.	
	A15	5,188,964	2/23/93	McGuire et al.	
	A16	5,232,833	8/3/93	Sanders et al.	
	A17	5,273,965	12/28/93	Kensil et al.	
	A18	5,348,945	9/20/94	Berberian et al.	
	A19	5,554,293	9/10/1996	Uhoch	
	A20	5,580,859	12/3/96	Felgner et al.	
	A21	5,637,082	6/10/1997	Pages et al.	
	A22	5,652,115	7/29/97	Marks et al.	
	A23	5,736,146	4/7/98	Cohen	
	A24	5,747,332	5/5/98	Wallen et al	
	A25	5,750,119	05/12/98	Srivastava	
	A26	5,830,464	11/03/98	Srivastava et al.	
	A27	5,846,928	12/8/1998	Kishida	
	A28	5,869,058	2/9/99	Cohen	
	A29	5,891,653	4/6/99	Attfield	
	A30	5,910,306	06/99	Alving et al.	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO. <b>8449-178-999</b>	APPLICATION NO. <b>09/873,403</b>
	APPLICANT <b>Srivastava et al.</b>	
	FILING DATE <b>June 4, 2001</b>	ART UNIT <b>1643</b>

### U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	PAGES, COLUMNS, LINES, WHERE RELEVANT PASSAGES OR RELEVANT FIGURES APPEAR
	A31	5,947,646	07/19/99	Srivastava et al.	
	A32	5,968,526	10/19/99	Garman et al.	
	A33	5,997,873	12/7/99	Srivastava et al.	
	A34	6,007,821	12/28/99	Srivastava et al.	
	A35	6,027,731	2/22/2000	Pauza	
	A36	6,030,618	02/29/00	Srivastava	
	A37	6,033,561	3/7/2000	Schoendorfer	
	A38	6,048,530	4/11/00	Srivastava	
	A39	6,136,315	10/24/00	Srivastava	
	A40	6,156,311	12/05/00	Strickland et al.	
	A41	6,162,436	12/19/00	Srivastava	
	A42	6,168,793	1/2/01	Srivastava et al.	
	A43	6,312,711	11/6/01	Duchateau et al.	
	A44	6,333,311	12/25/2001	Nuijens et al.	
	A45	6,338,945	01/15/02	Nicolette	
	A46	6,403,092	6/11/02	Pizzo et al.	
	A47	6,433,141	8/13/02	Wallen et al.	
	A48	6,689,363	02/10/04	Sette et al.	
	A49	6,709,672	3/23/04	Henot et al.	
	A50	6,713,608	3/30/04	Wallen et al.	
	A51	6,730,302	5/4/04	Fujihara et al.	
	A52	6,797,480	9/28/04	Srivastava	
	A53	6,986,389	01/06	Li	
	A54	7,176,515	03/06/07	Srivastava et al.	
	A55	7,179,462	02/20/07	Srivastava et al.	
	A56	7,132,109	11/07/06	Srivastava	

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO. <b>8449-178-999</b>	APPLICATION NO. <b>09/873,403</b>
	APPLICANT <b>Srivastava et al.</b>	
	FILING DATE <b>June 4, 2001</b>	ART UNIT <b>1643</b>

### FOREIGN PATENT DOCUMENTS

	B01	DE 196 02 985 A1	1/27/96	Germany		
	B02	GB 2 251 186A	7/1/92	United Kingdom		
	B03	WO 00/03003	1/20/00	University of Nottingham		
	B04	WO 00/10597	03/02/00	Immunology Limited		
	B05	WO 00/34494	6/15/00	The Government of the United States of America represented by the Secretary, Dept. of Health and Human Services		
	B06	WO 00/38760	7/6/2000	Occulogix Corp		
	B07	WO 00/46246	8/10/00	The General Hospital Corp.		
	B08	WO 00/54801	9/21/2000	Entremed Inc		
	B09	WO 01/91787	6/12/01	University of Connecticut Health Center		
	B10	WO 01/92474	12/06/01	University of Connecticut Health Center		
	B11	WO 02/07755	1/3/2002	The General Hospital Corporation		
	B12	WO 02/11669	02/14/02	Antigenics, LLC		
	B13	WO 02/15930	2/28/02	Duke University		
	B14	WO 02/30434	4/18/02	University of Connecticut Health Center		
	B15	WO 02/32923	4/25/02	University of Connecticut Health Center		
	B16	WO 02/34205	5/2/02	University of Connecticut Health Center		
	B17	WO 03/015712	02/27/03	University of Connecticut Health Center		
	B18	WO 03/090686	11/06/03	University of Connecticut Health Center		
	B19	WO 03/092624	11/13/03	University of Connecticut Health Center		
	B20	WO 04/035602	04/29/04	University of Connecticut Health Center		
	B21	WO 04/075636	09/10/04	University of Connecticut Health Center		
	B22	WO 04/74454	09/02/04	University of Connecticut Health Center		
	B23	WO 05/120558	12/22/05	University of Connecticut Health Center		
	B24	WO 89/12455	12/28/89	Whitehead Institute for Biomedical Research Medical Research Council		

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE June 4, 2001	ART UNIT 1643



### FOREIGN PATENT DOCUMENTS

B25	WO 90/02564	3/22/90	Codon Dragon		
B26	WO 91/15572	10/17/91	The Wellcome Foundation Limited		
B27	WO 92/01717	2/6/92	Burnie, James et al.		
B28	WO 92/08484	5/29/92	University College London		
B29	WO 92/08488	5/29/92	University College London		
B30	WO 93/14118	7/22/93	Medical Research Council		
B31	WO 93/17712	9/16/93	Biocine Sclavo Spa Rappuoli		
B32	WO 93/18146	9/16/93	Institut National de la Sante et de la recherche medicale		
B33	WO 93/18147	9/16/93	Institute Nazionale per lo studio e la cura dei tumori fondazione giovanni pascale		
B34	WO 93/18150	9/16/93	Biocine S.P.A.		
B35	WO 93/21529	10/28/93	Duke University		
B36	WO 93/24136	12/9/93	Terman, David S.		
B37	WO 94/03208	2/17/94	Yeda Research and Development Company, Ltd		
B38	WO 94/04676	3/3/94	The Victoria University of Manchester		
B39	WO 94/11513	5/26/94	Medical Research Council Colston		
B40	WO 94/14471	7/7/1994	Washington University		
B41	WO 94/29459	12/22/94	Whitehead Institute for Biomedical Research		
B42	WO 97/04794	2/13/97	The American National Red Cross - The General Hospital Corporation		
B43	WO 97/06685	2/27/97	Sloan-Kettering Institute for Cancer Research		
B44	WO 97/06821	2/27/97	Sloan-Kettering Institute for Cancer Research		
B45	WO 97/06828	2/27/97	Sloan-Kettering Institute for Cancer Research		
B46	WO 97/10001	03/20/97	Fordham University		
B47	WO 97/26910	7/31/97	Max-delbruck medizen milleck		
B48	WO 98/42752	10/01/98	Brigham and Woman's Hospital Inc.		
B49	WO 98/46739	7/23/97	Juridicial Foundation the Chemo-Sero-therapeutic Research Institute		
B50	WO 99/29834	06/17/99	Fordham University		

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**LIST OF REFERENCES CITED BY APPLICANT**  
(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C08	ABBAS et al., 1991, Cellular and Molecular Immunology, W.B. Saunders Co., Philadelphia (Chapters 15-18)	
	C09	AGOSTONI et al., 1994, "Activation of complement and kinin systems after thrombolytic therapy in patients with acute myocardial infarction. A comparison between streptokinase and recombinant tissue-type plasminogen activator." Circulation. 90(6):2666-70.	
	C10	ALDOVINI et al., 1992, "The New Vaccines", <i>Technology Review</i> pp. 24-31	
	C11	AMATO et al., 1999, "Active Specific Immunotherapy in Patients with Renal Cell Carcinoma (RCC) Using Autologous Tumor Derived Heat Shock Protein-Peptide Complex-96 (HSPP-96) Vaccine" <i>American Society Clinical Oncology Meeting</i> , abstract 1278	
	C12	ANDERSEN, P. 1994, "Effective vaccination of mice against Mycobacterium tuberculosis infection with a soluble mixture of secreted mycobacterial proteins," <i>Infect. Immun.</i> 62(6):2536-44	
	C13	ANDUS et al., Synthesis of alpha 2-macroglobulin in rat hepatocytes and in a cell-free system. <i>FEBS Lett.</i> 1983 Jan 10;151(1):10-14	
	C14	ANTHONY et al., 1999, "Priming of CD8+ CTL effector cells in mice by immunization with a stress protein-influenza virus nucleoprotein fusion molecule," <i>Vaccine</i> 17(4):373-83	
	C15	BANCHEREAU et al., 1998, "Dendritic cells and the control of immunity," <i>Nature</i> 392:245-252	
	C16	BARRIOS et al., 1992, "Mycobacterial heat-shock proteins as carrier molecules. II: The use of the 70-kDa mycobacterial heat-shock protein as carrier for conjugated vaccines can circumvent the need for adjuvants and Bacillus Calmette Guérin priming," <i>Eur. J. Immunol.</i> 22(6):1365-72	
	C17	BARRIOS et al., 1994, "Heat shock proteins as carrier molecules: in vivo helper effect mediated by Escherichia coli GroEL and Dna K proteins requires cross-linking with antigen," <i>Clin. Exp. Immunol.</i> 98(2):229-233	
	C18	BARRIOS et al., 1994, "Specificity of antibodies induced after immunization of mice with the mycobacterial heat shock protein of 65 kDa." <i>Clin Exp Immunol.</i> 98(2):224-8	
	C19	BARTLETT, 1972 "Effect Of Host Immunity On The Antigenic Strength Of Primary Tumors." <i>J. Natl. Cancer Inst.</i> 49:493-504	
	C20	BASOMBRIO (1970) "Search for common antigenicities among twenty-five sarcomas induced by methylcholanthrene", <i>The Institute for Cancer Research</i> 30:2458-2462	
	C21	BASU and SRIVASTAVA, 1999, "Calreticulin, a peptide-binding chaperone of the endoplasmic reticulum, elicits tumor- and peptide-specific immunity" <i>J. Exp. Med.</i> 189:797-802	
	C22	BASU et al., 2000, "Necrotic but not apoptotic cell death releases heat shock proteins, which deliver a partial maturation signal to dendritic cells and activate the NF-kappa B pathway," <i>Int. Immunol.</i> 12(11):1539-46	
	C23	BASU et al., 2001, "CD91 is a common receptor for heat shock proteins gp96, hsp90, hsp70, and calreticulin," <i>Immunity</i> 14:303-313	
	C24	BEDNAR et al., 1997, "Activation of complement by tissue plasminogen activator, but not acute cerebral ischemia, in a rabbit model of thromboembolic stroke." <i>J. Neurosurg.</i> 86(1):139-42.	
	C25	BELLONE et al., 1999, "Cancer Immunotherapy: synthetic and natural peptides in balance," <i>Immunology Today</i> 20(10): 457-462	
	C26	BEVERLY, 1988, "Tumour Immunology." In: <i>Immunology</i> , 3rd Edition, Roitt, Ed., Mosby, London, pp. 17.1-17.12	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE June 4, 2001	ART UNIT 1643

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C27	BINDER and Srivastava, 2004, "Essential role of CD91 in re-presentation of gp96-chaperoned peptides," Proc. Natl. Acad. Sci. U.S.A. 101:6128-6133	
	C28	BINDER et al., 2000, "CD91: a receptor for heat shock protein gp96," Nature Immunol. 1(2):151-155	
	C29	BINDER et al., 2001, "Heat shock protein-chaperoned peptides but not free peptides introduced into the cytosol are presented efficiently by major histocompatibility complex I molecules," J. Biol. Chem. 276(20): 17163-17171	
	C30	BIRKENMEIER G., 2001, "Targetting the Proteinase Inhibitor and Immune Modulatory Function of Human $\alpha_2$ -Macroglobulin." Mod. Asp. Immunobiol. 2(1):32-36	
	C31	BLACHERE and SRIVASTAVA (1993) "Immunization with GP96 heat shock proteins isolated from tumors or influenza virus infected cells elicits MHC-restricted, antigen-specific cytotoxic T lymphocytes against the corresponding cells", J. Cellular Biochem. Keystone Symposia, 17D: pp. 124, Abstract NZ 502	
	C32	BLACHERE et al., 1993, "Heat Shock Protein Vaccines Against Cancer," Journal of Immunotherapy 14:352-356	
	C33	BLANDER et al., 1993, "Major cytoplasmic membrane protein of Legionella pneumophila, a genus common antigen and member of the hsp 60 family of heat shock proteins, induces protective immunity in a guinea pig model of Legionnaires' disease," J. Clin. Invest. 91(2):717-23	
	C34	BODEY et al., 2000, Anticancer Res 20:2665-2676 Abs	
	C35	BOSCH et al., 1999, "State of the art of therapeutic apheresis in Europe", Ther. Apher. 3(3):197-8	
	C36	BRELOER et al., 1999, "in vivo and in vitro activation of T cells after administration of Ag-negative heat shock proteins," J. Immunol. 162:3141-3147	
	C37	BUMOL et al., 1988 "Characterization Of The Human Tumor And Normal Tissue Reactivity Of The KS1/4 Monoclonal Antibody." Hybridoma 7:407-415	
	C38	CARSWELL et al., 1970, "Immunogenic Properties Of Reticulum Cell Sarcomas Of SJL/J Mice." Natl. Cancer Inst. 44:1281-1288	
	C39	CASSEL et al., 1977, "Viral oncolysate in the management of malignant melanoma. I. Preparation of the oncolysate and measurement of immunologic responses," Cancer 40:672-679	
	C40	CASSEL et al., 1983 "A Phase II Study On The Postsurgical Management Of Stage II Malignant Melanoma With A Newcastle Disease Virus Oncolysate." Cancer, 52:856-860	
	C41	CASTELLI et al., 2001, "Human Heat Shock Protein 70 Peptide Complexes Specifically Active Antimelanoma T cells." Cancer Res 61:222-227	
	C42	CHANDAWARKAR et al., 2004, "Immune modulation with high-dose heat shock protein gp96: therapy of murine autoimmune diabetes and encephalomyelitis," Int'l. Immunol. 16:315-324	
	C43	CHU et al., 1994, $\alpha_2$ -Macroglobulin: A Sensor for Proteolysis," Ann. N.Y. Acad. Sci. 737:291-307	
	C44	CLARKE et al. 1988, "Purification of Complexes of Nuclear Oncogene p53 with Rat and Escherichia coli Heat Shock Proteins: In Vitro Dissociation of hsc70 and dnaK from Murine p53 by ATP" Mol. and Cell. Biol. Vol. 8 (3) 1206-1215	
	C45	COLLEN et al., 1989, "Tissue-type plasminogen activator. A review of its pharmacology and therapeutic use as a thrombolytic agent." Drugs. 38(3):346-88.	
	C46	COSTANZO, 1996, "New monoclonal antibodies," Curr. Opin. Cardiol. 11(2):204-7	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C47	CRAIG, 1993, "Chaperones: Helpers Along the Pathways to Protein Folding," <i>Science</i> 260:1902-4	
	C48	D'ANDREA, 2005, "Add Alzheimer's disease to the list of autoimmune diseases," <i>Med. Hypotheses</i> 64(3):458-463	
	C49	DASH, <i>et al.</i> , 2002 "Slow-Tight Binding Inhibition of Xylanase by an Aspartic Protease Inhibitor." <i>J. Biol. Chem.</i> 277:17978-17986	
	C50	DAVIDOFF <i>et al.</i> , 1992, "Immune response to p53 is dependent upon p53/HSP70 complexes in breast cancers	
	C51	DEL GIUDICE <i>et al.</i> , 1994, "Hsp70: a carrier molecule with built-in adjuvanticity", <i>Experientia</i> 30:50(11-12):1061-6	
	C52	DERMER, 1994, "Another Anniversary for the War on Cancer," <i>Biotechnology</i> 12:320	
	C53	DEUTSCHER <i>et al.</i> , 1992 "Guide to protein purification." <i>Meth. Enzymol.</i> , 182:610-611	
	C54	DUBOIS <i>et al.</i> , 1980, "Immunogenic properties of soluble cytosol fractions on Meth A sarcoma cells," <i>Cancer Res.</i> 40:4204-4208	
	C55	DUBOIS, <i>et al.</i> , 1982 "Purification and Biochemical Properties of Tumor-Associated Transplantation Antigens From Methylcholanthrene-Induced Murine Sarcomas." <i>Proc. Natl. Acad. Sci USA</i> , 79:7669-7673	
	C55	ELIGAARD ET AL., 1997, "Dissection of the domain architecture of the alpha2macrglobulin-receptor associated protein." <i>Eur. J. Biochem</i> 244:544-51	
	C57	EPPLEN <i>et al.</i> , 1997, "Genetic predisposition to multiple sclerosis as revealed by immunoprinting," <i>Ann. Neurol.</i> 41(3):341-52.	
	C58	ESPANA <i>et al.</i> , 1996, <i>Clin. Chem</i> 42(3):545-550	
	C59	ESTIN <i>et al.</i> , 1989, "Transfected mouse melanoma lines that express various levels of human melanoma-associated antigen p97," <i>J. Natl. Cancer Inst.</i> 81:445-448	
	C60	EVANS <i>et al.</i> , 1999, <i>Q.J. Med</i> 92:299-307	
	C61	FALK <i>et al.</i> , 1990, "Cellular Peptide Composition Governed by Major Histocompatibility Complex Class I Molecules", <i>Nature</i> 348:248-251	
	C62	FALK <i>et al.</i> , 1991, "Identification of Naturally Processed Viral Nonapeptides Allows Their Quantification in Infected Cells and Suggests an Allele-specific T Cell Epitope Forecast". <i>J Exp. Med</i> 174:425-434	
	C63	FALK <i>et al.</i> , 1991, "Allele-specific Motifs Revealed by Sequencing of Self-peptides Eluted from MHC Molecules", <i>Nature</i> 351:290-296	
	C64	FALK <i>et al.</i> , 1992, "Specificity of antigen processing for MHC class I restricted presentation is conserved between mouse and man", <i>Eur. J. Immunol.</i> 22:1323-1326	
	C55	FAY <i>et al.</i> , 1979, "Leukopheresis Therapy of Leukemic Reticuloendotheliosis (Hairy Cell Leukemia)", <i>Blood</i> 54: 747-749	
	C66	FEDWEG and SRIVASTAVA "Evidence for biochemical heterogeneity of gp96 heat shock protein/tumor rejection antigen", <i>Mount Sinai School of Medicine NZ</i> 206, p. 108	
	C67	FENG <i>et al.</i> , 2002, "Exogenous heat shock proteins provide adjuvant effects on enhancing the immunogenicity of apoptotic tumor cells and inducing antitumor immunity," <i>AACR 93<sup>rd</sup> Annual Meeting</i> , Vol. 43, April 6-10, Abstract #2214	
	C68	FERRERO <i>et al.</i> , 1995, The GroES homolog of <i>Helicobacter pylori</i> confers protective immunity against mucosal infection in mice. <i>Proc Natl Acad Sci USA</i> 92(14):6499-503	

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



**LIST OF REFERENCES CITED BY APPLICANT**  
(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C69	FLYNN et al., 1989, "Peptide binding and release by proteins implicated as catalysts of protein assembly", <i>Science</i> 245:385-390	
	C70	FLYNN et al., 1991, "Peptide-binding Specificity of the Molecular Chaperone BiP", <i>Nature</i> 353:726-730	
	C71	FORRESTER et al., 1983, "Effect of modified alpha 2macroglobulin on leucocyte locomotion and chemotaxis", <i>Immunology</i> 50(2):251-9	
	C72	FRESHNEY, 1983, "Culture of Animal Cells, A Manual of Basic Technique," Alan R. Liss Inc., New York p4	
	C73	GAIGER et al., 2000, "Immunity to WTI in the animal model and in patients with acute myeloid leukemia," <i>Blood</i> 96(4):1480-1489	
	C74	GALLUCCI et al., 1999, "Natural adjuvants: endogenous activators of dendritic cells," <i>Nat. Med.</i> 5:1249-55	
	C75	GELBER et al., 1992, "Vaccination of mice with a soluble protein fraction of Mycobacterium leprae provides consistent and long-term protection against M. leprae infection," <i>Infect Immun.</i> 60(5):1840-4	
	C76	GELBER et al., 1994, "Vaccination with pure Mycobacterium leprae proteins inhibits M. leprae multiplication in mouse footpads," <i>Infect Immun.</i> 62(10):4250-5	
	C77	GOMEZ et al., 1991, "Protective efficacy of a 62-kilodalton antigen, HIS-62, from the cell wall and cell membrane of Histoplasma capsulatum yeast cells." <i>Infect Immun.</i> 59(12):4459-64	
	C78	GOMEZ et al., 1992, "An 80-kilodalton antigen from Histoplasma capsulatum that has homology to heat shock protein 70 induces cell-mediated immune responses and protection in mice," <i>Infect Immun.</i> 60(7):2565-71	
	C79	GOMEZ et al., 1995, "Vaccination with recombinant heat shock protein 60 from Histoplasma capsulatum protects mice against pulmonary histoplasmosis." <i>Infect Immun.</i> 63(7):2587-95	
	C80	GOTO AND TANZI, 2002, "The role of the low-density lipoprotein receptor-related protein (LRP1) in Alzheimer's Abeta generation," <i>J. Mol. Neurosci.</i> 19:37-41	
	C81	GRAHAM, et al. 1955, "Antibodies Elicited by Cancer in Patients.", <i>Cancer</i> 8:409-416	
	C82	GRANER et al. 2000, "Immunoprotective activities of multiple chaperone proteins isolated from murine B-cell leukemia/lymphoma" <i>Clin. Can. Res.</i> 6:909	
	C83	GRANER et al., 2000, "Tumor-derived multiple chaperone enrichment by free-solution isoelectric focusing yields potent antitumor vaccines" <i>Cancer Immunol. Immunother.</i> 49:476	
	C84	GRANER et al., 2003, "Tumor-derived chaperone-rich cell lysates are effective therapeutic vaccines against a variety of cancers," <i>Cancer Immunol. Immunother.</i> 52(4):226-234	
	C85	GRIFFEN, Jr., et al. 1972, "Colon Carcinoma and Immunologic Phenomena." <i>Surgical Clinics of North America</i> , Vol. 52:839-846	
	C86	GROBMANN et al., 1997, "Active-Specific Immunotherapy Of Pancreatic Carcinoma: Usefulness Of Human Pancreatic Carcinomas In Preparing Autologous Tumor Vaccines." <i>Anticancer Res.</i> 17: 3117-3120	
	C87	HALEVY et al. 1990, "Different Tumor-Derived p53 Mutants Exhibit Distinct Biological Activities", <i>Science</i> Vol. 250 113-116	
	C88	HANOVER et al., 1986, "Monoclonal antibodies against a glycoprotein localized in coated pits and endocytic vesicles inhibit alpha2-macroglobulin binding and uptake", <i>J. of Biol. Chem.</i> 261(35): 16732-16737.	
	C89	HARLOW et al., 1988, "Antibodies: A Laboratory Manual" ch 6:139-243	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO. <b>8449-178-999</b>	APPLICATION NO. <b>09/873,403</b>
	APPLICANT <b>Srivastava et al.</b>	
	FILING DATE <b>June 4, 2001</b>	ART UNIT <b>1643</b>

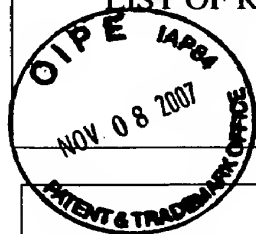
### NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C90	HEEB et al., 1995, "Prostate specific antigen-alpha 2-macroglobulin complexes in prostate cancer patient sera," <i>Biochem. Mol. Biol. Int.</i> 37(5):917-23	
	C91	HEISKALA et al., 1988 "Characteristics Of Soluble Tumour-Derived Proteins That Inhibit Natural Killer Activity." <i>Scand. J. Immunol.</i> 28:19-27	
	C92	HENTTU AND VIHKO, 1989 "cDNA Coding For The Entire Human Prostate Specific Antigen Shows High Homologies To The Human Tissue Kallikrein Genes." <i>Biochem. Biophys. Res. Comm.</i> 160:903-910	
	C93	HERZ AND STRICKLAND, 2001, "LRP: a multifunctional scavenger and signaling receptor," <i>J. Clin. Invest.</i> 108:779-784	
	C94	HERZ et al., 1990, "Low density lipoprotein receptor-related protein mediates endocytosis of monoclonal antibodies in cultured cells and rabbit liver", <i>J. of Biol. Chem.</i> 265(34): 21355-21362.	
	C95	HERZ et al., 1991, "39-kDa protein modulates binding of ligands to low density lipoprotein receptor-related protein/alpha-2-macroglobulin receptor." <i>J.Biol.Chem.</i> 266(31):21232-21238.	
	C96	HEY et al., 1988, "Cloning of a novel member of the low-density lipoprotein receptor family", <i>Gene</i> 216: 103-111.	
	C97	HINDS et al., 1987, "Immunological Evidence for the Association of p53 with a Heat Shock Protein, hsc70, in p53-plus-ras-Transformed Cell Lines" <i>Mol. and Cell. Biol.</i> Vol.7 (8) 2863-2869	

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

## LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)



ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

## FOREIGN PATENT DOCUMENTS

B25	WO 90/02564	3/22/90	Codon Dragon		
B26	WO 91/15572	10/17/91	The Wellcome Foundation Limited		
B27	WO 92/01717	2/6/92	Burnie, James et al.		
B28	WO 92/08484	5/29/92	University College London		
B29	WO 92/08488	5/29/92	University College London		
B30	WO 93/14118	7/22/93	Medical Research Council		
B31	WO 93/17712	9/16/93	Biocine Sclavo Spa Rappuoli		
B32	WO 93/18146	9/16/93	Institut National de la Sante et de la recherche medicale		
B33	WO 93/18147	9/16/93	Institute Nazionale per lo studio e la cura dei tumori fondazione giovanni pascale		
B34	WO 93/18150	9/16/93	Biocine S.P.A.		
B35	WO 93/21529	10/28/93	Duke University		
B36	WO 93/24136	12/9/93	Terman, David S.		
B37	WO 94/03208	2/17/94	Yeda Research and Development Company, Ltd		
B38	WO 94/04676	3/3/94	The Victoria University of Manchester		
B39	WO 94/11513	5/26/94	Medical Research Council Colston		
B40	WO 94/14471	7/7/1994	Washington University		
B41	WO 94/29459	12/22/94	Whitehead Institute for Biomedical Research		
B42	WO 97/04794	2/13/97	The American National Red Cross – The General Hospital Corporation		
B43	WO 97/06685	2/27/97	Sloan-Kettering Institute for Cancer Research		
B44	WO 97/06821	2/27/97	Sloan-Kettering Institute for Cancer Research		
B45	WO 97/06828	2/27/97	Sloan-Kettering Institute for Cancer Research		
B46	WO 97/10001	03/20/97	Fordham University		
B47	WO 97/26910	7/31/97	Max-delbruck medizen milleck		
B48	WO 98/42752	10/01/98	Brigham and Woman's Hospital Inc.		
B49	WO 98/46739	7/23/97	Juridicial Foundation the Chemo-Sero-therapeutic Research Institute		
B50	WO 99/29834	06/17/99	Fordham University		

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO. <b>8449-178-999</b>	APPLICATION NO. <b>09/873,403</b>
	APPLICANT <b>Srivastava et al.</b>	
	FILING DATE <b>June 4, 2001</b>	ART UNIT <b>1643</b>

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C08	ABBAS et al., 1991, Cellular and Molecular Immunology, W.B. Saunders Co., Philadelphia (Chapters 15-18)	
	C09	AGOSTONI et al., 1994, "Activation of complement and kinin systems after thrombolytic therapy in patients with acute myocardial infarction. A comparison between streptokinase and recombinant tissue-type plasminogen activator." Circulation. 90(6):2666-70.	
	C10	ALDOVINI et al., 1992, "The New Vaccines", <i>Technology Review</i> pp. 24-31	
	C11	AMATO et al., 1999, "Active Specific Immunotherapy in Patients with Renal Cell Carcinoma (RCC) Using Autologous Tumor Derived Heat Shock Protein-Peptide Complex-96 (HSPP-96) Vaccine" <i>American Society Clinical Oncology Meeting</i> , abstract 1278	
	C12	ANDERSEN, P. 1994, "Effective vaccination of mice against Mycobacterium tuberculosis infection with a soluble mixture of secreted mycobacterial proteins," <i>Infect. Immun.</i> 62(6):2536-44	
	C13	ANDUS et al., Synthesis of alpha 2-macroglobulin in rat hepatocytes and in a cell-free system. <i>FEBS Lett.</i> 1983 Jan 10;151(1):10-14	
	C14	ANTHONY et al., 1999, "Priming of CD8+ CTL effector cells in mice by immunization with a stress protein-influenza virus nucleoprotein fusion molecule," <i>Vaccine</i> 17(4):373-83	
	C15	BANCHEREAU et al., 1998, "Dendritic cells and the control of immunity," <i>Nature</i> 392:245-252	
	C16	BARRIOS et al., 1992, "Mycobacterial heat-shock proteins as carrier molecules. II: The use of the 70-kDa mycobacterial heat-shock protein as carrier for conjugated vaccines can circumvent the need for adjuvants and Bacillus Calmette Guerin priming," <i>Eur. J. Immunol.</i> 22(6):1365-72	
	C17	BARRIOS et al., 1994, "Heat shock proteins as carrier molecules: in vivo helper effect mediated by Escherichia coli GroEL and Dna K proteins requires cross-linking with antigen," <i>Clin. Exp. Immunol.</i> 98(2):229-233	
	C18	BARRIOS et al., 1994, "Specificity of antibodies induced after immunization of mice with the mycobacterial heat shock protein of 65 kD." <i>Clin Exp Immunol.</i> 98(2):224-8	
	C19	BARTLETT, 1972 "Effect Of Host Immunity On The Antigenic Strength Of Primary Tumors." <i>J. Natl. Cancer Inst.</i> 49:493-504	
	C20	BASOMBRIO (1970) "Search for common antigenicities among twenty-five sarcomas induced by methylcholanthrene", <i>The Institute for Cancer Research</i> 30:2458-2462	
	C21	BASU and SRIVASTAVA, 1999, "Calreticulin, a peptide-binding chaperone of the endoplasmic reticulum, elicits tumor- and peptide-specific immunity" <i>J. Exp. Med.</i> 189:797-802	
	C22	BASU et al., 2000, "Necrotic but not apoptotic cell death releases heat shock proteins, which deliver a partial maturation signal to dendritic cells and activate the NF-kappa B pathway," <i>Int. Immunol.</i> 12(11):1539-46	
	C23	BASU et al., 2001, "CD91 is a common receptor for heat shock proteins gp96, hsp90, hsp70, and calreticulin," <i>Immunity</i> 14:303-313	
	C24	BEDNAR et al., 1997, "Activation of complement by tissue plasminogen activator, but not acute cerebral ischemia, in a rabbit model of thromboembolic stroke." <i>J. Neurosurg.</i> 86(1):139-42.	
	C25	BELLONE et al., 1999, "Cancer Immunotherapy: synthetic and natural peptides in balance," <i>Immunology Today</i> 20(10): 457-462	
	C26	BEVERLY, 1988, "Tumour Immunology." In: <i>Immunology</i> , 3rd Edition, Roitt, Ed., Mosby, London, pp. 17.1-17.12	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

LIST OF REFERENCES CITED BY APPLICANT (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT	
	Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C27	BINDER and Srivastava, 2004, "Essential role of CD91 in re-presentation of gp96-chaperoned peptides," Proc. Natl. Acad. Sci. U.S.A. 101:6128-6133	
	C28	BINDER et al., 2000, "CD91: a receptor for heat shock protein gp96," Nature Immunol. 1(2):151-155	
	C29	BINDER et al., 2001, "Heat shock protein-chaperoned peptides but not free peptides introduced into the cytosol are presented efficiently by major histocompatibility complex I molecules," J. Biol. Chem. 276(20): 17163-17171	
	C30	BIRKENMEIER G., 2001, "Targetting the Proteinase Inhibitor and Immune Modulatory Function of Human $\alpha$ 2-Macroglobulin." Mod. Asp. Immunobiol. 2(1):32-36	
	C31	BLACHERE and SRIVASTAVA (1993) "Immunization with GP96 heat shock proteins isolated from tumors or influenza virus infected cells elicits MHC-restricted, antigen-specific cytotoxic T lymphocytes against the corresponding cells", <i>J. Cellular Biochem. Keystone Symposia</i> , 17D: pp. 124, Abstract NZ 502	
	C32	BLACHERE et al., 1993, "Heat Shock Protein Vaccines Against Cancer," <i>Journal of Immunotherapy</i> 14:352-356	
	C33	BLANDER et al., 1993, "Major cytoplasmic membrane protein of Legionella pneumophila, a genus common antigen and member of the hsp 60 family of heat shock proteins, induces protective immunity in a guinea pig model of Legionnaires' disease," J. Clin. Invest. 91(2):717-23	
	C34	BODEY et al., 2000, Anticancer Res 20:2665-2676 Abs	
	C35	BOSCH et al., 1999, "State of the art of therapeutic apheresis in Europe", Ther. Apher. 3(3):197-8	
	C36	BRELOER et al., 1999, "in vivo and in vitro activation of T cells after administration of Ag-negative heat shock proteins," J. Immunol. 162:3141-3147	
	C37	BUMOL et al., 1988 "Characterization Of The Human Tumor And Normal Tissue Reactivity Of The KS1/4 Monoclonal Antibody." <i>Hybridoma</i> 7:407-415	
	C38	CARSWELL et al., 1970, "Immunogenic Properties Of Reticulum Cell Sarcomas Of SJL/J Mice." <i>Natl. Cancer Inst.</i> 44:1281-1288	
	C39	CASSEL et al., 1977, "Viral oncolysate in the management of malignant melanoma. I. Preparation of the oncolysate and measurement of immunologic responses," Cancer 40:672-679	
	C40	CASSEL et al., 1983 "A Phase II Study On The Postsurgical Management Of Stage II Malignant Melanoma With A Newcastle Disease Virus Oncolysate." <i>Cancer</i> , 52:856-860	
	C41	CASTELLI et al., 2001, "Human Heat Shock Protein 70 Peptide Complexes Specifically Active Antimelanoma T cells." Cancer Res 61:222-227	
	C42	CHANDAWARKAR et al., 2004, "Immune modulation with high-dose heat shock protein gp96: therapy of murine autoimmune diabetes and encephalomyelitis," Int'l. Immunol. 16:315-324	
	C43	CHU et al., 1994, $\alpha$ 2-Macroglobulin: A Sensor for Proteolysis," Ann. N.Y. Acad. Sci. 737:291-307	
	C44	CLARKE et al. 1988, "Purification of Complexes of Nuclear Oncogene p53 with Rat and Escherichia coli Heat Shock Proteins: In Vitro Dissociation of hsc70 and dnaK from Murine p53 by ATP" Mol. and Cell. Biol. Vol. 8 (3) 1206-1215	
	C45	COLLEN et al., 1989, "Tissue-type plasminogen activator. A review of its pharmacology and therapeutic use as a thrombolytic agent." Drugs. 38(3):346-88.	
	C46	COSTANZO, 1996, "New monoclonal antibodies," Curr. Opin. Cardiol. 11(2):204-7	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**LIST OF REFERENCES CITED BY APPLICANT**  
(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C47	CRAIG, 1993, "Chaperones: Helpers Along the Pathways to Protein Folding," <i>Science</i> 260:1902-4	
	C48	D'ANDREA, 2005, "Add Alzheimer's disease to the list of autoimmune diseases," <i>Med. Hypotheses</i> 64(3):458-463	
	C49	DASH, <i>et al.</i> , 2002 "Slow-Tight Binding Inhibition of Xylanase by an Aspartic Protease Inhibitor." <i>J. Biol. Chem.</i> 277:17978-17986	
	C50	DAVIDOFF <i>et al.</i> , 1992, "Immune response to p53 is dependent upon p53/HSP70 complexes in breast cancers	
	C51	DEL GIUDICE <i>et al.</i> , 1994, "Hsp70: a carrier molecule with built-in adjuvanticity", <i>Experientia</i> 30:50(11-12):1061-6	
	C52	DERMER, 1994, "Another Anniversary for the War on Cancer," <i>Biotechnology</i> 12:320	
	C53	DEUTSCHER <i>et al.</i> , 1992 "Guide to protein purification." <i>Meth. Enzymol.</i> , 182:610-611	
	C54	DUBOIS <i>et al.</i> , 1980, "Immunogenic properties of soluble cytosol fractions on Meth A sarcoma cells," <i>Cancer Res.</i> 40:4204-4208	
	C55	DUBOIS, <i>et al.</i> , 1982 "Purification and Biochemical Properties of Tumor-Associated Transplantation Antigens From Methylcholanthrene-Induced Murine Sarcomas." <i>Proc. Natl. Acad. Sci USA</i> , 79:7669-7673	
	C55	ELIGAARD ET AL., 1997, "Dissection of the domain architecture of the alpha2macroglobulin-receptor associated protein." <i>Eur. J. Biochem</i> 244:544-51	
	C57	EPPLEN <i>et al.</i> , 1997, "Genetic predisposition to multiple sclerosis as revealed by immunoprinting," <i>Ann. Neurol.</i> 41(3):341-52.	
	C58	ESPANA <i>et al.</i> , 1996, <i>Clin. Chem</i> 42(3):545-550	
	C59	ESTIN <i>et al.</i> , 1989, "Transfected mouse melanoma lines that express various levels of human melanoma-associated antigen p97," <i>J. Natl. Cancer Inst.</i> 81:445-448	
	C60	EVANS <i>et al.</i> , 1999, <i>Q.J. Med</i> 92:299-307	
	C63	FALK <i>et al.</i> , 1990, "Cellular Peptide Composition Governed by Major Histocompatibility Complex Class I Molecules", <i>Nature</i> 348:248-251	
	C62	FALK <i>et al.</i> , 1991, "Identification of Naturally Processed Viral Nonapeptides Allows Their Quantification in Infected Cells and Suggests an Allele-specific T Cell Epitope Forecast". <i>J Exp. Med</i> 174:425-434	
	C63	FALK <i>et al.</i> , 1991, "Allele-specific Motifs Revealed by Sequencing of Self-peptides Eluted from MHC Molecules", <i>Nature</i> 351:290-296	
	C64	FALK <i>et al.</i> , 1992, "Specificity of antigen processing for MHC class I restricted presentation is conserved between mouse and man", <i>Eur. J. Immunol.</i> 22:1323-1326	
	C65	FAY <i>et al.</i> , 1979, "Leukopheresis Therapy of Leukemic Reticuloendotheliosis (Hairy Cell Leukemia)", <i>Blood</i> 54: 747-749	
	C65	FEDWEG and SRIVASTAVA "Evidence for biochemical heterogeneity of gp96 heat shock protein/tumor rejection antigen", <i>Mount Sinai School of Medicine NZ</i> 206, p. 108	
	C67	FENG <i>et al.</i> , 2002, "Exogenous heat shock proteins provide adjuvant effects on enhancing the immunogenicity of apoptotic tumor cells and inducing antitumor immunity," <i>AACR 93<sup>rd</sup> Annual Meeting</i> , Vol. 43, April 6-10, Abstract #2214	
	C68	FERRERO <i>et al.</i> , 1995, The GroES homolog of <i>Helicobacter pylori</i> confers protective immunity against mucosal infection in mice. <i>Proc Natl Acad Sci USA</i> 92(14):6499-503	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C69	FLYNN et al., 1989, "Peptide binding and release by proteins implicated as catalysts of protein assembly", <i>Science</i> 245:385-390	
	C70	FLYNN et al., 1991, "Peptide-binding Specificity of the Molecular Chaperone BiP", <i>Nature</i> 353:726-730	
	C71	FORRESTER et al., 1983, "Effect of modified alpha 2macroglobulin on leucocyte locomotion and chemotaxis", <i>Immunology</i> 50(2):251-9	
	C72	FRESHNEY, 1983, "Culture of Animal Cells, A Manual of Basic Technique," Alan R. Liss Inc., New York p4	
	C73	GAIGER et al., 2000, "Immunity to WT1 in the animal model and in patients with acute myeloid leukemia," <i>Blood</i> 96(4):1480-1489	
	C74	GALLUCCI et al., 1999, "Natural adjuvants: endogenous activators of dendritic cells," <i>Nat. Med.</i> 5:1249-55	
	C75	GELBER et al., 1992, "Vaccination of mice with a soluble protein fraction of Mycobacterium leprae provides consistent and long-term protection against M. leprae infection," <i>Infect Immun.</i> 60(5):1840-4	
	C76	GELBER et al., 1994, "Vaccination with pure Mycobacterium leprae proteins inhibits M. leprae multiplication in mouse footpads," <i>Infect Immun.</i> 62(10):4250-5	
	C77	GOMEZ et al., 1991, "Protective efficacy of a 62-kilodalton antigen, HIS-62, from the cell wall and cell membrane of Histoplasma capsulatum yeast cells." <i>Infect Immun.</i> 59(12):4459-64	
	C78	GOMEZ et al., 1992, "An 80-kilodalton antigen from Histoplasma capsulatum that has homology to heat shock protein 70 induces cell-mediated immune responses and protection in mice," <i>Infect Immun.</i> 60(7):2565-71	
	C76	GOMEZ et al., 1995, "Vaccination with recombinant heat shock protein 60 from Histoplasma capsulatum protects mice against pulmonary histoplasmosis." <i>Infect Immun.</i> 63(7):2587-95	
	C80	GOTO AND TANZI, 2002, "The role of the low-density lipoprotein receptor-related protein (LRP1) in Alzheimer's A-beta generation," <i>J. Mol. Neurosci.</i> 19:37-41	
	C81	GRAHAM, et al. 1955, "Antibodies Elicited by Cancer in Patients.", <i>Cancer</i> 8:409-416	
	C82	GRANER et al. 2000, "Immunoprotective activities of multiple chaperone proteins isolated from murine B-cell leukemia/lymphoma" <i>Clin. Can. Res.</i> 6:909	
	C83	GRANER et al., 2000, "Tumor-derived multiple chaperone enrichment by free-solution isoelectric focusing yields potent antitumor vaccines" <i>Cancer Immunol. Immunother.</i> 49:476	
	C84	GRANER et al., 2003, "Tumor-derived chaperone-rich cell lysates are effective therapeutic vaccines against a variety of cancers," <i>Cancer Immunol. Immunother.</i> 52(4):226-234	
	C85	GRIFFEN, Jr., et al. 1972, "Colon Carcinoma and Immunologic Phenomena." <i>Surgical Clinics of North America</i> , Vol. 52:839-846	
	C86	GROBMANN et al., 1997, "Active-Specific Immunotherapy Of Pancreatic Carcinoma: Usefulness Of Human Pancreatic Carcinomas In Preparing Autologous Tumor Vaccines." <i>Anticancer Res.</i> 17: 3117-3120	
	C87	HALEVY et al. 1990, "Different Tumor-Derived p53 Mutants Exhibit Distinct Biological Activities", <i>Science</i> Vol. 250 113-116	
	C88	HANOVER et al., 1986, "Monoclonal antibodies against a glycoprotein localized in coated pits and endocytic vesicles inhibit alpha2-macroglobulin binding and uptake", <i>J. of Biol. Chem.</i> 261(35): 16732-16737.	
	C89	HARLOW et al., 1988, "Antibodies: A Laboratory Manual" ch 6:139-243	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.


<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO. <b>8449-178-999</b>	APPLICATION NO. <b>09/873,403</b>
	APPLICANT <b>Srivastava et al.</b>	
	FILING DATE <b>June 4, 2001</b>	ART UNIT <b>1643</b>

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C90	HEEB et al., 1995, "Prostate specific antigen-alpha 2-macroglobulin complexes in prostate cancer patient sera," <i>Biochem. Mol. Biol. Int.</i> 37(5):917-23	
	C91	HEISKALA et al., 1988 "Characteristics Of Soluble Tumour-Derived Proteins That Inhibit Natural Killer Activity." <i>Scand. J. Immunol.</i> 28:19-27	
	C92	HENTTU AND VIHKO, 1989 "cDNA Coding For The Entire Human Prostate Specific Antigen Shows High Homologies To The Human Tissue Kallikrein Genes." <i>Biochem. Biophys. Res. Comm.</i> 160:903-910	
	C93	HERZ AND STRICKLAND, 2001, "LRP: a multifunctional scavenger and signaling receptor," <i>J. Clin. Invest.</i> 108:779-784	
	C94	HERZ et al., 1990, "Low density lipoprotein receptor-related protein mediates endocytosis of monoclonal antibodies in cultured cells and rabbit liver", <i>J. of Biol. Chem.</i> 265(34): 21355-21362.	
	C95	HERZ et al., 1991, "39-kDa protein modulates binding of ligands to low density lipoprotein receptor-related protein/alpha-2-macroglobulin receptor." <i>J.Biol.Chem.</i> 266(31):21232-21238.	
	C96	HEY et al., 1988, "Cloning of a novel member of the low-density lipoprotein receptor family", <i>Gene</i> 216: 103-111.	
	C97	HINDS et al., 1987, "Immunological Evidence for the Association of p53 with a Heat Shock Protein, hsc70, in p53-plus-ras-Transformed Cell Lines" <i>Mol. and Cell. Biol.</i> Vol.7 (8) 2863-2869	

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	




	<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	
	ATTY. DOCKET NO. 8449-178-999	APPLICATION NO. 09/873,403
	APPLICANT Srivastava et al.	
FILING DATE June 4, 2001		ART UNIT 1643

### FOREIGN PATENT DOCUMENTS

B25	WO 90/02564	3/22/90	Codon Dragon		
B26	WO 91/15572	10/17/91	The Wellcome Foundation Limited		
B27	WO 92/01717	2/6/92	Burnie, James et al.		
B28	WO 92/08484	5/29/92	University College London		
B29	WO 92/08488	5/29/92	University College London		
B30	WO 93/14118	7/22/93	Medical Research Council		
B31	WO 93/17712	9/16/93	Biocine Sclavo Spa Rappuoli		
B32	WO 93/18146	9/16/93	Institut National de la Sante et de la recherche medicale		
B33	WO 93/18147	9/16/93	Institute Nazionale per lo studio e la cura dei tumori fondazione giovanni pascale		
B34	WO 93/18150	9/16/93	Biocine S.P.A.		
B35	WO 93/21529	10/28/93	Duke University		
B36	WO 93/24136	12/9/93	Terman, David S.		
B37	WO 94/03208	2/17/94	Yeda Research and Development Company, Ltd		
B38	WO 94/04676	3/3/94	The Victoria University of Manchester		
B39	WO 94/11513	5/26/94	Medical Research Council Colston		
B40	WO 94/14471	7/7/1994	Washington University		
B41	WO 94/29459	12/22/94	Whitehead Institute for Biomedical Research		
B42	WO 97/04794	2/13/97	The American National Red Cross – The General Hospital Corporation		
B43	WO 97/06685	2/27/97	Sloan-Kettering Institute for Cancer Research		
B44	WO 97/06821	2/27/97	Sloan-Kettering Institute for Cancer Research		
B45	WO 97/06828	2/27/97	Sloan-Kettering Institute for Cancer Research		
B46	WO 97/10001	03/20/97	Fordham University		
B47	WO 97/26910	7/31/97	Max-delbruck medizen milleck		
B48	WO 98/42752	10/01/98	Brigham and Woman's Hospital Inc.		
B49	WO 98/46739	7/23/97	Juridicial Foundation the Chemo-Sero-therapeutic Research Institute		
B50	WO 99/29834	06/17/99	Fordham University		

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

	<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	
	ATTY. DOCKET NO. 8449-178-999	APPLICATION NO. 09/873,403
	APPLICANT Srivastava et al.	
FILING DATE June 4, 2001	ART UNIT 1643	

### FOREIGN PATENT DOCUMENTS

B25	WO 90/02564	3/22/90	Codon Dragon		
B26	WO 91/15572	10/17/91	The Wellcome Foundation Limited		
B27	WO 92/01717	2/6/92	Burnie, James et al.		
B28	WO 92/08484	5/29/92	University College London		
B29	WO 92/08488	5/29/92	University College London		
B30	WO 93/14118	7/22/93	Medical Research Council		
B31	WO 93/17712	9/16/93	Biocine Sclavo Spa Rappuoli		
B32	WO 93/18146	9/16/93	Institut National de la Sante et de la recherche medicale		
B33	WO 93/18147	9/16/93	Institute Nazionale per lo studio e la cura dei tumori fondazione giovanni pascale		
B34	WO 93/18150	9/16/93	Biocine S.P.A.		
B35	WO 93/21529	10/28/93	Duke University		
B36	WO 93/24136	12/9/93	Terman, David S.		
B37	WO 94/03208	2/17/94	Yeda Research and Development Company, Ltd		
B38	WO 94/04676	3/3/94	The Victoria University of Manchester		
B39	WO 94/11513	5/26/94	Medical Research Council Colston		
B40	WO 94/14471	7/7/1994	Washington University		
B41	WO 94/29459	12/22/94	Whitehead Institute for Biomedical Research		
B42	WO 97/04794	2/13/97	The American National Red Cross – The General Hospital Corporation		
B43	WO 97/06685	2/27/97	Sloan-Kettering Institute for Cancer Research		
B44	WO 97/06821	2/27/97	Sloan-Kettering Institute for Cancer Research		
B45	WO 97/06828	2/27/97	Sloan-Kettering Institute for Cancer Research		
B46	WO 97/10001	03/20/97	Fordham University		
B47	WO 97/26910	7/31/97	Max-delbruck medizen milleck		
B48	WO 98/42752	10/01/98	Brigham and Woman's Hospital Inc.		
B49	WO 98/46739	7/23/97	Juridicial Foundation the Chemo-Sero-therapeutic Research Institute		
B50	WO 99/29834	06/17/99	Fordham University		

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**LIST OF REFERENCES CITED BY APPLICANT**  
(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C08	ABBAS et al., 1991, Cellular and Molecular Immunology, W.B. Saunders Co., Philadelphia (Chapters 15-18)	
	C09	AGOSTONI et al., 1994, "Activation of complement and kinin systems after thrombolytic therapy in patients with acute myocardial infarction. A comparison between streptokinase and recombinant tissue-type plasminogen activator." Circulation. 90(6):2666-70.	
	C10	ALDOVINI et al., 1992, "The New Vaccines", <i>Technology Review</i> pp. 24-31	
	C11	AMATO et al., 1999, "Active Specific Immunotherapy in Patients with Renal Cell Carcinoma (RCC) Using Autologous Tumor Derived Heat Shock Protein-Peptide Complex-96 (HSPP-96) Vaccine" <i>American Society Clinical Oncology Meeting</i> , abstract 1278	
	C12	ANDERSEN, P. 1994, "Effective vaccination of mice against Mycobacterium tuberculosis infection with a soluble mixture of secreted mycobacterial proteins," Infect. Immun. 62(6):2536-44	
	C13	ANDUS et al., Synthesis of alpha 2-macroglobulin in rat hepatocytes and in a cell-free system. FEBS Lett. 1983 Jan 10;151(1):10-14	
	C14	ANTHONY et al., 1999, "Priming of CD8+ CTL effector cells in mice by immunization with a stress protein-influenza virus nucleoprotein fusion molecule," Vaccine 17(4):373-83	
	C15	BANCHEREAU et al., 1998, "Dendritic cells and the control of immunity," Nature 392:245-252	
	C16	BARRIOS et al., 1992, "Mycobacterial heat-shock proteins as carrier molecules. II: The use of the 70-kDa mycobacterial heat-shock protein as carrier for conjugated vaccines can circumvent the need for adjuvants and Bacillus Calmette Guerin priming," Eur. J. Immunol. 22(6):1365-72	
	C17	BARRIOS et al., 1994, "Heat shock proteins as carrier molecules: in vivo helper effect mediated by Escherichia coli GroEL and Dna K proteins requires cross-linking with antigen," Clin. Exp. Immunol. 98(2):229-233	
	C18	BARRIOS et al., 1994, "Specificity of antibodies induced after immunization of mice with the mycobacterial heat shock protein of 65 kD." Clin Exp Immunol. 98(2):224-8	
	C19	BARTLETT, 1972 "Effect Of Host Immunity On The Antigenic Strength Of Primary Tumors." <i>J. Natl. Cancer Inst.</i> 49:493-504	
	C20	BASOMBRIO (1970) "Search for common antigenicities among twenty-five sarcomas induced by methylcholanthrene", <i>The Institute for Cancer Research</i> 30:2458-2462	
	C21	BASU and SRIVASTAVA, 1999, "Calreticulin, a peptide-binding chaperone of the endoplasmic reticulum, elicits tumor- and peptide-specific immunity" <i>J. Exp. Med.</i> 189:797-802	
	C22	BASU et al., 2000, "Necrotic but not apoptotic cell death releases heat shock proteins, which deliver a partial maturation signal to dendritic cells and activate the NF-kappa B pathway," Int. Immunol. 12(11):1539-46	
	C23	BASU et al., 2001, "CD91 is a common receptor for heat shock proteins gp96, hsp90, hsp70, and calreticulin," Immunity 14:303-313	
	C24	BEDNAR et al., 1997, "Activation of complement by tissue plasminogen activator, but not acute cerebral ischemia, in a rabbit model of thromboembolic stroke." J. Neurosurg. 86(1):139-42.	
	C25	BELLONE et al., 1999, "Cancer Immunotherapy: synthetic and natural peptides in balance," Immunology Today 20(10): 457-462	
	C26	BEVERLY, 1988, "Tumour Immunology." In: <i>Immunology</i> , 3rd Edition, Roitt, Ed., Mosby, London, pp. 17.1-17.12	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**LIST OF REFERENCES CITED BY APPLICANT**  
(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C27	BINDER and Srivastava, 2004, "Essential role of CD91 in re-presentation of gp96-chaperoned peptides," Proc. Natl. Acad. Sci. U.S.A. 101:6128-6133	
	C28	BINDER et al., 2000, "CD91: a receptor for heat shock protein gp96," Nature Immunol. 1(2):151-155	
	C29	BINDER et al., 2001, "Heat shock protein-chaperoned peptides but not free peptides introduced into the cytosol are presented efficiently by major histocompatibility complex I molecules," J. Biol. Chem. 276(20): 17163-17171	
	C30	BIRKENMEIER G., 2001, "Targetting the Proteinase Inhibitor and Immune Modulatory Function of Human $\alpha$ 2-Macroglobulin." Mod. Asp. Immunobiol. 2(1):32-36	
	C31	BLACHERE and SRIVASTAVA (1993) "Immunization with GP96 heat shock proteins isolated from tumors or influenza virus infected cells elicits MHC-restricted, antigen-specific cytotoxic T lymphocytes against the corresponding cells", <i>J. Cellular Biochem. Keystone Symposia</i> , 17D: pp. 124, Abstract NZ 502	
	C32	BLACHERE et al., 1993, "Heat Shock Protein Vaccines Against Cancer," <i>Journal of Immunotherapy</i> 14:352-356	
	C33	BLANDER et al., 1993, "Major cytoplasmic membrane protein of Legionella pneumophila, a genus common antigen and member of the hsp 60 family of heat shock proteins, induces protective immunity in a guinea pig model of Legionnaires' disease," J. Clin. Invest. 91(2):717-23	
	C34	BODEY et al., 2000, Anticancer Res 20:2665-2676 Abs	
	C35	BOSCH et al., 1999, "State of the art of therapeutic apheresis in Europe", Ther. Apher. 3(3):197-8	
	C36	BRELOER et al., 1999, "in vivo and in vitro activation of T cells after administration of Ag-negative heat shock proteins," J. Immunol. 162:3141-3147	
	C37	BUMOL et al., 1988 "Characterization Of The Human Tumor And Normal Tissue Reactivity Of The KS1/4 Monoclonal Antibody." <i>Hybridoma</i> 7:407-415	
	C38	CARSWELL et al., 1970, "Immunogenic Properties Of Reticulum Cell Sarcomas Of SJL/J Mice." <i>Natl. Cancer Inst.</i> 44:1281-1288	
	C39	CASSEL et al., 1977, "Viral oncolysate in the management of malignant melanoma. I. Preparation of the oncolysate and measurement of immunologic responses," Cancer 40:672-679	
	C40	CASSEL et al., 1983 "A Phase II Study On The Postsurgical Management Of Stage II Malignant Melanoma With A Newcastle Disease Virus Oncolysate." <i>Cancer</i> , 52:856-860	
	C41	CASTELLI et al., 2001, "Human Heat Shock Protein 70 Peptide Complexes Specifically Active Antimelanoma T cells." Cancer Res 61:222-227	
	C42	CHANDAWARKAR et al., 2004, "Immune modulation with high-dose heat shock protein gp96: therapy of murine autoimmune diabetes and encephalomyelitis," Int'l. Immunol. 16:315-324	
	C43	CHU et al., 1994, $\alpha$ 2-Macroglobulin: A Sensor for Proteolysis," Ann. N.Y. Acad. Sci. 737:291-307	
	C44	CLARKE et al. 1988, "Purification of Complexes of Nuclear Oncogene p53 with Rat and Escherichia coli Heat Shock Proteins: In Vitro Dissociation of hsc70 and dnaK from Murine p53 by ATP" Mol. and Cell. Biol. Vol. 8 (3) 1206-1215	
	C45	COLLEN et al., 1989, "Tissue-type plasminogen activator. A review of its pharmacology and therapeutic use as a thrombolytic agent." Drugs. 38(3):346-88.	
	C46	COSTANZO, 1996, "New monoclonal antibodies," Curr. Opin. Cardiol. 11(2):204-7	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

## LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C47	CRAIG, 1993, "Chaperones: Helpers Along the Pathways to Protein Folding," <i>Science</i> 260:1902-4	
	C48	D'ANDREA, 2005, "Add Alzheimer's disease to the list of autoimmune diseases," <i>Med. Hypotheses</i> 64(3):458-463	
	C49	DASH, <i>et al.</i> , 2002 "Slow-Tight Binding Inhibition of Xylanase by an Aspartic Protease Inhibitor." <i>J. Biol. Chem.</i> 277:17978-17986	
	C50	DAVIDOFF <i>et al.</i> , 1992, "Immune response to p53 is dependent upon p53/HSP70 complexes in breast cancers	
	C51	DEL GIUDICE <i>et al.</i> , 1994, "Hsp70: a carrier molecule with built-in adjuvanticity", <i>Experientia</i> 30,50(11-12):1061-6	
	C52	DERMER, 1994, "Another Anniversary for the War on Cancer," <i>Biotechnology</i> 12:320	
	C53	DEUTSCHER <i>et al.</i> , 1992 "Guide to protein purification." <i>Meth. Enzymol.</i> , 182:610-611	
	C54	DUBOIS <i>et al.</i> , 1980, "Immunogenic properties of soluble cytosol fractions on Meth A sarcoma cells," <i>Cancer Res.</i> 40:4204-4208	
	C55	DUBOIS, <i>et al.</i> , 1982 "Purification and Biochemical Properties of Tumor-Associated Transplantation Antigens From Methylcholanthrene-Induced Murine Sarcomas." <i>Proc. Natl. Acad. Sci USA</i> , 79:7669-7673	
	C56	ELLGAAARD ET AL., 1997, "Dissection of the domain architecture of the alpha2macrglobulin-receptor associated protein." <i>Eur. J. Biochem</i> 244:544-51	
	C61	EPPLEN <i>et al.</i> , 1997, "Genetic predisposition to multiple sclerosis as revealed by immunoprinting," <i>Ann. Neurol.</i> 41(3):341-52.	
	C58	ESPANA <i>et al.</i> , 1996, <i>Clin. Chem</i> 42(3):545-550	
	C56	ESTIN <i>et al.</i> , 1989, "Transfected mouse melanoma lines that express various levels of human melanoma-associated antigen p97," <i>J. Natl. Cancer Inst.</i> 81:445-448	
	C60	EVANS <i>et al.</i> , 1999, <i>Q.J. Med</i> 92:299-307	
	C61	FALK <i>et al.</i> , 1990, "Cellular Peptide Composition Governed by Major Histocompatibility Complex Class I Molecules", <i>Nature</i> 348:248-251	
	C62	FALK <i>et al.</i> , 1991, "Identification of Naturally Processed Viral Nonapeptides Allows Their Quantification in Infected Cells and Suggests an Allele-specific T Cell Epitope Forecast". <i>J Exp. Med</i> 174:425-434	
	C61	FALK <i>et al.</i> , 1991, "Allele-specific Motifs Revealed by Sequencing of Self-peptides Eluted from MHC Molecules", <i>Nature</i> 351:290-296	
	C64	FALK <i>et al.</i> , 1992, "Specificity of antigen processing for MHC class I restricted presentation is conserved between mouse and man", <i>Eur. J. Immunol.</i> 22:1323-1326	
	C65	FAY <i>et al.</i> , 1979, "Leukopheresis Therapy of Leukemic Reticuloendotheliosis (Hairy Cell Leukemia)", <i>Blood</i> 54: 747-749	
	C66	FEDWEG and SRIVASTAVA "Evidence for biochemical heterogeneity of gp96 heat shock protein/tumor rejection antigen", <i>Mount Sinai School of Medicine NZ</i> 206, p. 108	
	C67	FENG <i>et al.</i> , 2002, "Exogenous heat shock proteins provide adjuvant effects on enhancing the immunogenicity of apoptotic tumor cells and inducing antitumor immunity," <i>AACR 93<sup>rd</sup> Annual Meeting</i> , Vol. 43, April 6-10, Abstract #2214	
	C68	FERRERO <i>et al.</i> , 1995, The GroES homolog of <i>Helicobacter pylori</i> confers protective immunity against mucosal infection in mice. <i>Proc Natl Acad Sci USA</i> 92(14):6499-503	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**LIST OF REFERENCES CITED BY APPLICANT**  
(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C69	FLYNN et al., 1989, "Peptide binding and release by proteins implicated as catalysts of protein assembly", <i>Science</i> 245:385-390	
	C70	FLYNN et al., 1991, "Peptide-binding Specificity of the Molecular Chaperone BiP", <i>Nature</i> 353:726-730	
	C71	FORRESTER et al., 1983, "Effect of modified alpha 2macroglobulin on leucocyte locomotion and chemotaxis", <i>Immunology</i> 50(2):251-9	
	C72	FRESHNEY, 1983, "Culture of Animal Cells, A Manual of Basic Technique," Alan R. Liss Inc., New York p4	
	C73	GAIGER et al., 2000, "Immunity to WT1 in the animal model and in patients with acute myeloid leukemia," <i>Blood</i> 96(4):1480-1489	
	C74	GALLUCCI et al., 1999, "Natural adjuvants: endogenous activators of dendritic cells," <i>Nat. Med.</i> 5:1249-55	
	C75	GELBER et al., 1992, "Vaccination of mice with a soluble protein fraction of <i>Mycobacterium leprae</i> provides consistent and long-term protection against <i>M. leprae</i> infection," <i>Infect Immun.</i> 60(5):1840-4	
	C76	GELBER et al., 1994, "Vaccination with pure <i>Mycobacterium leprae</i> proteins inhibits <i>M. leprae</i> multiplication in mouse footpads," <i>Infect Immun.</i> 62(10):4250-5	
	C77	GOMEZ et al., 1991, "Protective efficacy of a 62-kilodalton antigen, HIS-62, from the cell wall and cell membrane of <i>Histoplasma capsulatum</i> yeast cells." <i>Infect Immun.</i> 59(12):4459-64	
	C78	GOMEZ et al., 1992, "An 80-kilodalton antigen from <i>Histoplasma capsulatum</i> that has homology to heat shock protein 70 induces cell-mediated immune responses and protection in mice," <i>Infect Immun.</i> 60(7):2565-71	
	C79	GOMEZ et al., 1995, "Vaccination with recombinant heat shock protein 60 from <i>Histoplasma capsulatum</i> protects mice against pulmonary histoplasmosis." <i>Infect Immun.</i> 63(7):2587-95	
	C80	GOTO AND TANZI, 2002, "The role of the low-density lipoprotein receptor-related protein (LRP1) in Alzheimer's Abeta generation," <i>J. Mol. Neurosci.</i> 19:37-41	
	C81	GRAHAM, et al. 1955, "Antibodies Elicited by Cancer in Patients.", <i>Cancer</i> 8:409-416	
	C82	GRANER et al. 2000, "Immunoprotective activities of multiple chaperone proteins isolated from murine B-cell leukemia/lymphoma" <i>Clin. Can. Res.</i> 6:909	
	C83	GRANER et al., 2000, "Tumor-derived multiple chaperone enrichment by free-solution isoelectric focusing yields potent antitumor vaccines" <i>Cancer Immunol. Immunother.</i> 49:476	
	C84	GRANER et al., 2003, "Tumor-derived chaperone-rich cell lysates are effective therapeutic vaccines against a variety of cancers," <i>Cancer Immunol. Immunother.</i> 52(4):226-234	
	C85	GRIFFEN, Jr., et al. 1972, "Colon Carcinoma and Immunologic Phenomena." <i>Surgical Clinics of North America</i> , Vol. 52:839-846	
	C86	GROBMANN et al., 1997, "Active-Specific Immunotherapy Of Pancreatic Carcinoma: Usefulness Of Human Pancreatic Carcinomas In Preparing Autologous Tumor Vaccines." <i>Anticancer Res.</i> 17: 3117-3120	
	C87	HALEVY et al. 1990, "Different Tumor-Derived p53 Mutants Exhibit Distinct Biological Activities", <i>Science</i> Vol. 250 113-116	
	C88	HANOVER et al., 1986, "Monoclonal antibodies against a glycoprotein localized in coated pits and endocytic vesicles inhibit alpha2-macroglobulin binding and uptake", <i>J. of Biol. Chem.</i> 261(35): 16732-16737.	
	C89	HARLOW et al., 1988, "Antibodies: A Laboratory Manual" ch 6:139-243	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO. <b>8449-178-999</b>	APPLICATION NO. <b>09/873,403</b>
	APPLICANT <b>Srivastava et al.</b>	
	FILING DATE <b>June 4, 2001</b>	ART UNIT <b>1643</b>

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C90	HEEB et al., 1995, "Prostate specific antigen-alpha 2-macroglobulin complexes in prostate cancer patient sera," <i>Biochem. Mol. Biol. Int.</i> 37(5):917-23	
	C91	HEISKALA et al., 1988 "Characteristics Of Soluble Tumour-Derived Proteins That Inhibit Natural Killer Activity," <i>Scand. J. Immunol.</i> 28:19-27	
	C92	HENTTU AND VIHKO, 1989 "cDNA Coding For The Entire Human Prostate Specific Antigen Shows High Homologies To The Human Tissue Kallikrein Genes." <i>Biochem. Biophys. Res. Comm.</i> 160:903-910	
	C93	HERZ AND STRICKLAND, 2001, "LRP: a multifunctional scavenger and signaling receptor," <i>J. Clin. Invest.</i> 108:779-784	
	C94	HERZ et al., 1990, "Low density lipoprotein receptor-related protein mediates endocytosis of monoclonal antibodies in cultured cells and rabbit liver", <i>J. of Biol. Chem.</i> 265(34): 21355-21362.	
	C96	HERZ et al., 1991, "39-kDa protein modulates binding of ligands to low density lipoprotein receptor-related protein/alpha-2-macroglobulin receptor." <i>J.Biol.Chem.</i> 266(31):21232-21238.	
	C96	HEY et al., 1988, "Cloning of a novel member of the low-density lipoprotein receptor family", <i>Gene</i> 216: 103-111.	
	C97	HINDS et al., 1987, "Immunological Evidence for the Association of p53 with a Heat Shock Protein, hsc70, in p53-plus-ras-Transformed Cell Lines" <i>Mol. and Cell. Biol.</i> Vol.7 (8) 2863-2869	

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

**LIST OF REFERENCES CITED BY APPLICANT**

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**FOREIGN PATENT DOCUMENTS**

	B25	WO 90/02564	3/22/90	Codon Dragon		
	B26	WO 91/15572	10/17/91	The Wellcome Foundation Limited		
	B27	WO 92/01717	2/6/92	Burnie, James et al.		
	B28	WO 92/08484	5/29/92	University College London		
	B29	WO 92/08488	5/29/92	University College London		
	B30	WO 93/14118	7/22/93	Medical Research Council		
	B31	WO 93/17712	9/16/93	Biocine Sclavo Spa Rappuoli		
	B32	WO 93/18146	9/16/93	Institut National de la Sante et de la recherche medicale		
	B33	WO 93/18147	9/16/93	Institute Nazionale per lo studio e la cura dei tumori fondazione giovanni pascale		
	B34	WO 93/18150	9/16/93	Biocine S.P.A.		
	B35	WO 93/21529	10/28/93	Duke University		
	B36	WO 93/24136	12/9/93	Terman, David S.		
	B37	WO 94/03208	2/17/94	Yeda Research and Development Company, Ltd		
	B38	WO 94/04676	3/3/94	The Victoria University of Manchester		
	B39	WO 94/11513	5/26/94	Medical Research Council Colston		
	B40	WO 94/14471	7/7/1994	Washington University		
	B41	WO 94/29459	12/22/94	Whitehead Institute for Biomedical Research		
	B41	WO 97/04794	2/13/97	The American National Red Cross – The General Hospital Corporation		
	B43	WO 97/06685	2/27/97	Sloan-Kettering Institute for Cancer Research		
	B44	WO 97/06821	2/27/97	Sloan-Kettering Institute for Cancer Research		
	B45	WO 97/06828	2/27/97	Sloan-Kettering Institute for Cancer Research		
	B46	WO 97/10001	03/20/97	Fordham University		
	B47	WO 97/26910	7/31/97	Max-delbruck medizen milleck		
	B48	WO 98/42752	10/01/98	Brigham and Woman's Hospital Inc.		
	B49	WO 98/46739	7/23/97	Juridicial Foundation the Chemo-Sero-therapeutic Research Institute		
	B50	WO 99/29834	06/17/99	Fordham University		

**EXAMINER****DATE CONSIDERED**

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



## LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C08	ABBAS et al., 1991, Cellular and Molecular Immunology, W.B. Saunders Co., Philadelphia (Chapters 15-18)	
	C09	AGOSTONI et al., 1994, "Activation of complement and kinin systems after thrombolytic therapy in patients with acute myocardial infarction. A comparison between streptokinase and recombinant tissue-type plasminogen activator." Circulation. 90(6):2666-70.	
	C10	ALDOVINI et al., 1992, "The New Vaccines", <i>Technology Review</i> pp. 24-31	
	C11	AMATO et al., 1999, "Active Specific Immunotherapy in Patients with Renal Cell Carcinoma (RCC) Using Autologous Tumor Derived Heat Shock Protein-Peptide Complex-96 (HSPP-96) Vaccine" <i>American Society Clinical Oncology Meeting</i> , abstract 1278	
	C12	ANDERSEN, P. 1994, "Effective vaccination of mice against Mycobacterium tuberculosis infection with a soluble mixture of secreted mycobacterial proteins," <i>Infect. Immun.</i> 62(6):2536-44	
	C13	ANDUS et al., Synthesis of alpha 2-macroglobulin in rat hepatocytes and in a cell-free system. <i>FEBS Lett.</i> 1983 Jan 10;151(1):10-14	
	C14	ANTHONY et al., 1999, "Priming of CD8+ CTL effector cells in mice by immunization with a stress protein-influenza virus nucleoprotein fusion molecule," <i>Vaccine</i> 17(4):373-83	
	C15	BANCHEREAU et al., 1998, "Dendritic cells and the control of immunity," <i>Nature</i> 392:245-252	
	C16	BARRIOS et al., 1992, "Mycobacterial heat-shock proteins as carrier molecules. II: The use of the 70-kDa mycobacterial heat-shock protein as carrier for conjugated vaccines can circumvent the need for adjuvants and Bacillus Calmette Guerin priming," <i>Eur. J. Immunol.</i> 22(6):1365-72	
	C17	BARRIOS et al., 1994, "Heat shock proteins as carrier molecules: in vivo helper effect mediated by Escherichia coli GroEL and Dna K proteins requires cross-linking with antigen," <i>Clin. Exp. Immunol.</i> 98(2):229-233	
	C18	BARRIOS et al., 1994, "Specificity of antibodies induced after immunization of mice with the mycobacterial heat shock protein of 65 kD." <i>Clin Exp Immunol.</i> 98(2):224-8	
	C19	BARTLETT, 1972 "Effect Of Host Immunity On The Antigenic Strength Of Primary Tumors." <i>J. Natl. Cancer Inst.</i> 49:493-504	
	C20	BASOMBRIO (1970) "Search for common antigenicities among twenty-five sarcomas induced by methylcholanthrene", <i>The Institute for Cancer Research</i> 30:2458-2462	
	C21	BASU and SRIVASTAVA, 1999, "Calreticulin, a peptide-binding chaperone of the endoplasmic reticulum, elicits tumor- and peptide-specific immunity" <i>J. Exp. Med.</i> 189:797-802	
	C22	BASU et al., 2000, "Necrotic but not apoptotic cell death releases heat shock proteins, which deliver a partial maturation signal to dendritic cells and activate the NF-kappa B pathway," <i>Int. Immunol.</i> 12(11):1539-46	
	C23	BASU et al., 2001, "CD91 is a common receptor for heat shock proteins gp96, hsp90, hsp70, and calreticulin," <i>Immunity</i> 14:303-313	
	C24	BEDNAR et al., 1997, "Activation of complement by tissue plasminogen activator, but not acute cerebral ischemia, in a rabbit model of thromboembolic stroke." <i>J. Neurosurg.</i> 86(1):139-42.	
	C25	BELLONE et al., 1999, "Cancer Immunotherapy: synthetic and natural peptides in balance," <i>Immunology Today</i> 20(10): 457-462	
	C26	BEVERLY, 1988, "Tumour Immunology." In: <i>Immunology</i> , 3rd Edition, Roitt, Ed., Mosby, London, pp. 17.1-17.12	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C27	BINDER and Srivastava, 2004, "Essential role of CD91 in re-presentation of gp96-chaperoned peptides," <i>Proc. Natl. Acad. Sci. U.S.A.</i> 101:6128-6133	
	C28	BINDER et al., 2000, "CD91: a receptor for heat shock protein gp96," <i>Nature Immunol.</i> 1(2):151-155	
	C29	BINDER et al., 2001, "Heat shock protein-chaperoned peptides but not free peptides introduced into the cytosol are presented efficiently by major histocompatibility complex I molecules," <i>J. Biol. Chem.</i> 276(20): 17163-17171	
	C30	BIRKENMEIER G., 2001, "Targeting the Proteinase Inhibitor and Immune Modulatory Function of Human $\alpha$ 2-Macroglobulin," <i>Mod. Asp. Immunobiol.</i> 2(1):32-36	
	C31	BLACHERE and SRIVASTAVA (1993) "Immunization with GP96 heat shock proteins isolated from tumors or influenza virus infected cells elicits MHC-restricted, antigen-specific cytotoxic T lymphocytes against the corresponding cells," <i>J. Cellular Biochem. Keystone Symposia</i> , 17D: pp. 124, Abstract NZ 502	
	C32	BLACHERE et al., 1993, "Heat Shock Protein Vaccines Against Cancer," <i>Journal of Immunotherapy</i> 14:352-356	
	C33	BLANDER et al., 1993, "Major cytoplasmic membrane protein of Legionella pneumophila, a genus common antigen and member of the hsp 60 family of heat shock proteins, induces protective immunity in a guinea pig model of Legionnaires' disease," <i>J. Clin. Invest.</i> 91(2):717-23	
	C34	BODEY et al., 2000, <i>Anticancer Res</i> 20:2665-2676 Abs	
	C35	BOSCH et al., 1999, "State of the art of therapeutic apheresis in Europe", <i>Ther. Apher.</i> 3(3):197-8	
	C36	BRELOER et al., 1999, "in vivo and in vitro activation of T cells after administration of Ag-negative heat shock proteins," <i>J. Immunol.</i> 162:3141-3147	
	C37	BUMOL et al., 1988 "Characterization Of The Human Tumor And Normal Tissue Reactivity Of The KS1/4 Monoclonal Antibody," <i>Hybridoma</i> 7:407-415	
	C38	CARSWELL et al., 1970, "Immunogenic Properties Of Reticulum Cell Sarcomas Of SJL/J Mice," <i>Natl. Cancer Inst.</i> 44:1281-1288	
	C39	CASSEL et al., 1977, "Viral oncolysate in the management of malignant melanoma. I. Preparation of the oncolysate and measurement of immunologic responses," <i>Cancer</i> 40:672-679	
	C40	CASSEL et al., 1983 "A Phase II Study On The Postsurgical Management Of Stage II Malignant Melanoma With A Newcastle Disease Virus Oncolysate," <i>Cancer</i> , 52:856-860	
	C41	CASTELLI et al., 2001, "Human Heat Shock Protein 70 Peptide Complexes Specifically Active Antimelanoma T cells," <i>Cancer Res</i> 61:222-227	
	C42	CHANDAWARKAR et al., 2004, "Immune modulation with high-dose heat shock protein gp96: therapy of murine autoimmune diabetes and encephalomyelitis," <i>Int'l. Immunol.</i> 16:315-324	
	C43	CHU et al., 1994, $\alpha$ 2-Macroglobulin: A Sensor for Proteolysis," <i>Ann. N.Y. Acad. Sci.</i> 737:291-307	
	C44	CLARKE et al. 1988, "Purification of Complexes of Nuclear Oncogene p53 with Rat and Escherichia coli Heat Shock Proteins: In Vitro Dissociation of hsc70 and dnaK from Murine p53 by ATP" <i>Mol. and Cell. Biol.</i> Vol. 8 (3) 1206-1215	
	C45	COLLEN et al., 1989, "Tissue-type plasminogen activator. A review of its pharmacology and therapeutic use as a thrombolytic agent." <i>Drugs.</i> 38(3):346-88.	
	C46	COSTANZO, 1996, "New monoclonal antibodies," <i>Curr. Opin. Cardiol.</i> 11(2):204-7	

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE June 4, 2001	ART UNIT 1643

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C47	CRAIG, 1993, "Chaperones: Helpers Along the Pathways to Protein Folding," <i>Science</i> 260:1902-4	
	C48	D'ANDREA, 2005, "Add Alzheimer's disease to the list of autoimmune diseases," <i>Med. Hypotheses</i> 64(3):458-463	
	C49	DASH, <i>et al.</i> , 2002 "Slow-Tight Binding Inhibition of Xylanase by an Aspartic Protease Inhibitor." <i>J. Biol. Chem.</i> 277:17978-17986	
	C50	DAVIDOFF <i>et al.</i> , 1992, "Immune response to p53 is dependent upon p53/HSP70 complexes in breast cancers	
	C51	DEL GIUDICE <i>et al.</i> , 1994, "Hsp70: a carrier molecule with built-in adjuvanticity", <i>Experientia</i> 30:50(11-12):1061-6	
	C52	DERMER, 1994, "Another Anniversary for the War on Cancer," <i>Biotechnology</i> 12:320	
	C53	DEUTSCHER <i>et al.</i> , 1992 "Guide to protein purification." <i>Meth. Enzymol.</i> , 182:610-611	
	C54	DUBOIS <i>et al.</i> , 1980, "Immunogenic properties of soluble cytosol fractions on Meth A sarcoma cells," <i>Cancer Res.</i> 40:4204-4208	
	C55	DUBOIS, <i>et al.</i> , 1982 "Purification and Biochemical Properties of Tumor-Associated Transplantation Antigens From Methylcholanthrene-Induced Murine Sarcomas." <i>Proc. Natl. Acad. Sci USA</i> , 79:7669-7673	
	C56	ELLGAARD ET AL., 1997, "Dissection of the domain architecture of the alpha2macroglobulin-receptor associated protein." <i>Eur. J. Biochem</i> 244:544-51	
	C57	EPPLEN <i>et al.</i> , 1997, "Genetic predisposition to multiple sclerosis as revealed by immunoprinting," <i>Ann. Neurol.</i> 41(3):341-52.	
	C58	ESPANA <i>et al.</i> , 1996, <i>Clin. Chem</i> 42(3):545-550	
	C59	ESTIN <i>et al.</i> , 1989, "Transfected mouse melanoma lines that express various levels of human melanoma-associated antigen p97," <i>J. Natl. Cancer Inst.</i> 81:445-448	
	C60	EVANS <i>et al.</i> , 1999, <i>Q.J. Med</i> 92:299-307	
	C61	FALK <i>et al.</i> , 1990, "Cellular Peptide Composition Governed by Major Histocompatibility Complex Class I Molecules", <i>Nature</i> 348:248-251	
	C62	FALK <i>et al.</i> , 1991, "Identification of Naturally Processed Viral Nonapeptides Allows Their Quantification in Infected Cells and Suggests an Allele-specific T Cell Epitope Forecast". <i>J Exp. Med</i> 174:425-434	
	C63	FALK <i>et al.</i> , 1991, "Allele-specific Motifs Revealed by Sequencing of Self-peptides Eluted from MHC Molecules", <i>Nature</i> 351:290-296	
	C64	FALK <i>et al.</i> , 1992, "Specificity of antigen processing for MHC class I restricted presentation is conserved between mouse and man", <i>Eur. J. Immunol.</i> 22:1323-1326	
	C65	FAY <i>et al.</i> , 1979, "Leukopheresis Therapy of Leukemic Reticuloendotheliosis (Hairy Cell Leukemia)", <i>Blood</i> 54: 747-749	
	C66	FEDWEG and SRIVASTAVA "Evidence for biochemical heterogeneity of gp96 heat shock protein/tumor rejection antigen", <i>Mount Sinai School of Medicine NZ</i> 206, p. 108	
	C67	FENG <i>et al.</i> , 2002, "Exogenous heat shock proteins provide adjuvant effects on enhancing the immunogenicity of apoptotic tumor cells and inducing antitumor immunity," <i>AACR 93<sup>rd</sup> Annual Meeting</i> , Vol. 43, April 6-10, Abstract #2214	
	C68	FERRERO <i>et al.</i> , 1995, The GroES homolog of <i>Helicobacter pylori</i> confers protective immunity against mucosal infection in mice. <i>Proc Natl Acad Sci USA</i> 92(14):6499-503	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

## LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C69	FLYNN et al., 1989, "Peptide binding and release by proteins implicated as catalysts of protein assembly", <i>Science</i> 245:385-390	
	C70	FLYNN et al., 1991, "Peptide-binding Specificity of the Molecular Chaperone BiP", <i>Nature</i> 353:726-730	
	C71	FORRESTER et al., 1983, "Effect of modified alpha 2macroglobulin on leucocyte locomotion and chemotaxis", <i>Immunology</i> 50(2):251-9	
	C72	FRESHNEY, 1983, "Culture of Animal Cells, A Manual of Basic Technique," Alan R. Liss Inc., New York p4	
	C73	GAIGER et al., 2000, "Immunity to WT1 in the animal model and in patients with acute myeloid leukemia," <i>Blood</i> 96(4):1480-1489	
	C74	GALLUCCI et al., 1999, "Natural adjuvants: endogenous activators of dendritic cells," <i>Nat. Med.</i> 5:1249-55	
	C75	GELBER et al., 1992, "Vaccination of mice with a soluble protein fraction of Mycobacterium leprae provides consistent and long-term protection against M. leprae infection," <i>Infect Immun.</i> 60(5):1840-4	
	C76	GELBER et al., 1994, "Vaccination with pure Mycobacterium leprae proteins inhibits M. leprae multiplication in mouse footpads," <i>Infect Immun.</i> 62(10):4250-5	
	C77	GOMEZ et al., 1991, "Protective efficacy of a 62-kilodalton antigen, HIS-62, from the cell wall and cell membrane of Histoplasma capsulatum yeast cells." <i>Infect Immun.</i> 59(12):4459-64	
	C78	GOMEZ et al., 1992, "An 80-kilodalton antigen from Histoplasma capsulatum that has homology to heat shock protein 70 induces cell-mediated immune responses and protection in mice," <i>Infect Immun.</i> 60(7):2565-71	
	C77	GOMEZ et al., 1995, "Vaccination with recombinant heat shock protein 60 from Histoplasma capsulatum protects mice against pulmonary histoplasmosis." <i>Infect Immun.</i> 63(7):2587-95	
	C80	GOTO AND TANZI, 2002, "The role of the low-density lipoprotein receptor-related protein (LRP1) in Alzheimer's Abeta generation," <i>J. Mol. Neurosci.</i> 19:37-41	
	C81	GRAHAM, et al. 1955., "Antibodies Elicited by Cancer in Patients.," <i>Cancer</i> 8:409-416	
	C82	GRANER et al. 2000, "Immunoprotective activities of multiple chaperone proteins isolated from murine B-cell leukemia/lymphoma" <i>Clin. Can. Res.</i> 6:909	
	C83	GRANER et al., 2000, "Tumor-derived multiple chaperone enrichment by free-solution isoelectric focusing yields potent antitumor vaccines" <i>Cancer Immunol. Immunother.</i> 49:476	
	C84	GRANER et al., 2003, "Tumor-derived chaperone-rich cell lysates are effective therapeutic vaccines against a variety of cancers," <i>Cancer Immunol. Immunother.</i> 52(4):226-234	
	C85	GRIFFEN, Jr., et al. 1972, "Colon Carcinoma and Immunologic Phenomena." <i>Surgical Clinics of North America</i> , Vol. 52:839-846	
	C86	GROBMANN et al., 1997, "Active-Specific Immunotherapy Of Pancreatic Carcinoma: Usefulness Of Human Pancreatic Carcinomas In Preparing Autologous Tumor Vaccines." <i>Anticancer Res.</i> 17: 3117-3120	
	C87	HALEVY et al. 1990, "Different Tumor-Derived p53 Mutants Exhibit Distinct Biological Activities", <i>Science</i> Vol. 250 113-116	
	C88	HANOVER et al., 1986, "Monoclonal antibodies against a glycoprotein localized in coated pits and endocytic vesicles inhibit alpha2-macroglobulin binding and uptake", <i>J. of Biol. Chem.</i> 261(35): 16732-16737.	
	C89	HARLOW et al., 1988, "Antibodies: A Laboratory Manual" ch 6:139-243	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C90	HEEB et al., 1995, "Prostate specific antigen-alpha 2-macroglobulin complexes in prostate cancer patient sera," <i>Biochem. Mol. Biol. Int.</i> 37(5):917-23	
	C91	HEISKALA et al., 1988 "Characteristics Of Soluble Tumour-Derived Proteins That Inhibit Natural Killer Activity," <i>Scand. J. Immunol.</i> 28:19-27	
	C92	HENTTU AND VIHKO, 1989 "cDNA Coding For The Entire Human Prostate Specific Antigen Shows High Homologies To The Human Tissue Kallikrein Genes." <i>Biochem. Biophys. Res. Comm.</i> 160:903-910	
	C93	HERZ AND STRICKLAND, 2001, "LRP: a multifunctional scavenger and signaling receptor," <i>J. Clin. Invest.</i> 108:779-784	
	C94	HERZ et al., 1990, "Low density lipoprotein receptor-related protein mediates endocytosis of monoclonal antibodies in cultured cells and rabbit liver", <i>J. of Biol. Chem.</i> 265(34): 21355-21362.	
	C95	HERZ et al., 1991, "39-kDa protein modulates binding of ligands to low density lipoprotein receptor-related protein/alpha-2-macroglobulin receptor." <i>J.Biol.Chem.</i> 266(31):21232-21238.	
	C96	HEY et al., 1988, "Cloning of a novel member of the low-density lipoprotein receptor family", <i>Gene</i> 216: 103-111.	
	C97	HINDS et al., 1987, "Immunological Evidence for the Association of p53 with a Heat Shock Protein, hsc70, in p53-plus-ras-Transformed Cell Lines" <i>Mol. and Cell. Biol.</i> Vol.7 (8) 2863-2869	

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



11-13-07

1643 IFW

Express Mail No.: ED 608 969 344 US**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**Application of: Srivastava *et al.*

Confirmation No.: 1802

Application No.: 09/873,403

Art Unit: 1643

Filed: June 4, 2001

Examiner: Christopher H. Yaen

For: COMPLEXES OF ALPHA (2)  
MACROGLOBULIN AND ANTIGENIC  
MOLECULES FOR IMMUNOTHERAPY

Attorney Docket No: 8449-178-999  
(CAM No: 708584-999177)

**SUPPLEMENTAL INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.56 AND § 1.97**

**MAIL STOP RCE**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**COPY**

Sir:

In accordance with the continuing duty of disclosure imposed by 37 C.F.R. § 1.56 and § 1.97 to inform the United States Patent and Trademark Office ("USPTO") of all references coming to the attention of each individual associated with the filing or prosecution of the subject application, which are or may be material to the patentability of any claim of the application, Attorneys for Applicant hereby invite the Examiner's attention to references **A01-A56, B01-B50, and C08 to C283** listed on the attached form entitled "List of References Cited by Applicant."

Copies of references **A01, B01-B50 and C08-C283** are enclosed herewith. Copies of references **A02-A56** are not submitted herewith because they are U.S. patents or U.S. patent application publications. Pursuant to 37 C.F.R. § 1.98 (a)(2)(i) as amended (*see* Fed. Reg. vol. 69, no. 182, Sept. 21, 2004), the requirement for providing a copy of each U.S. patent or U.S. patent application publication listed in an Information Disclosure Statement in a patent application, regardless of the filing date of the application, is eliminated.

Identification of the listed references is not meant to be construed as an admission of Applicants or Attorneys for Applicants that such references are available as "prior art" against the subject application.

Pursuant to 37 C.F.R. § 1.98(a)(3)(i), a concise explanation of the relevance of non-English documents (references B01 and B47) is provided herewith. The relevance of reference B01, German Patent DE 19602985, can be explained by the English translation of

the abstract: Tumor vaccine, for immune therapy of tumors, comprises tumor cells which also contain a gene for an exogenic heat shock protein. The relevance of reference B47, PCT Application No. WO 97/26910, can be explained by the English translation of the abstract:

The invention concerns a tumor vaccine in which the immunogenicity of tumor cells, tumor associated antigens or antigen partial structures are reinforced through genetic modification or through chemical bonding to an exogenous thermal shock protein. The use of microbial thermal shock proteins or their genes is preferred which are derived from mycobacteria, *Escherichia coli* or from *Chlamydia trachomatis*.

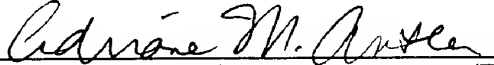
While not to be construed as indicating that the Examiner should not review and consider fully all the listed references, Attorneys for Applicant particularly direct the Examiner's attention to references A05, A08, A11, C177-C181, and C184-C186.

Applicants respectfully request that the Examiner review the foregoing references and that the references be made of record in the file history of the application.

Pursuant to 37 C.F.R. § 1.97 (b)(4), Applicants believe that no fee is due in connection with the filing of this Supplemental Information Disclosure Statement. However, if the Patent Office determines otherwise, the Commissioner is authorized to charge any required fees to Jones Day deposit account no. 50-3013.

Respectfully submitted,

Date: November 8, 2007

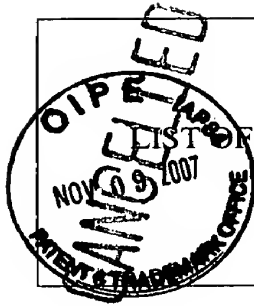
 32,605  
Adriane M. Antler (Reg. No.)  
**JONES DAY**  
222 East 41<sup>st</sup> Street  
New York, New York 10017  
Phone: (212) 326-3939



# COPY

Express Mail No.: ED 608 969 344 US

Sheet 1 of 3 of List of References

**LIST OF REFERENCES CITED BY APPLICANT**

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	PAGES, COLUMNS, LINES, WHERE RELEVANT PASSAGES OR RELEVANT FIGURES APPEAR
	A01	09/393,652	9/10/99	Srivastava	
	A02	2001-0034042	10/01	Srivastava	
	A03	2002-0001841	1/03/02	Kaltoft et al.	
	A04	2002-0028207	6/4/01	Srivastava	
	A05	2002-0037290	03/28/02	Armen	
	A06	2002-0172682	11/21/02	Srivastava	
	A07	2002-0192230	12/19/02	Srivastava	
	A08	2003-0129296	07/10/03	Srivastava	
	A09	2003-0211971	11/13/03	Srivastava	
	A10	2004-0022796	02/05/04	Srivastava	
	A11	2004-0253228	12/16/04	Srivastava	
	A12	2006-0165710	07/26/06	Srivastava	
	A13	4,690,915	9/1/87	Rosenberg	
	A14	5,112,298	5/12/1992	Prince et al.	
	A15	5,188,964	2/23/93	McGuire et al.	
	A16	5,232,833	8/3/93	Sanders et al.	
	A17	5,273,965	12/28/93	Kensil et al.	
	A18	5,348,945	9/20/94	Berberian et al.	
	A19	5,554,293	9/10/1996	Uhoch	
	A20	5,580,859	12/3/96	Felgner et al.	
	A21	5,637,082	6/10/1997	Pages et al.	
	A22	5,652,115	7/29/97	Marks et al.	
	A23	5,736,146	4/7/98	Cohen	
	A24	5,747,332	5/5/98	Wallen et al	
	A25	5,750,119	05/12/98	Srivastava	
	A26	5,830,464	11/03/98	Srivastava et al.	
	A27	5,846,928	12/8/1998	Kishida	
	A28	5,869,058	2/9/99	Cohen	
	A29	5,891,653	4/6/99	Attfield	
	A30	5,910,306	06/99	Alving et al.	

**EXAMINER****DATE CONSIDERED**

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



**LIST OF REFERENCES CITED BY APPLICANT**

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	PAGES, COLUMNS, LINES, WHERE RELEVANT PASSAGES OR RELEVANT FIGURES APPEAR
	A31	5,947,646	07/19/99	Srivastava et al.	
	A32	5,968,526	10/19/99	Garman et al.	
	A33	5,997,873	12/7/99	Srivastava et al.	
	A34	6,007,821	12/28/99	Srivastava et al.	
	A35	6,027,731	2/22/2000	Pauza	
	A36	6,030,618	02/29/00	Srivastava	
	A37	6,033,561	3/7/2000	Schoendorfer	
	A38	6,048,530	4/11/00	Srivastava	
	A39	6,136,315	10/24/00	Srivastava	
	A40	6,156,311	12/05/00	Strickland et al.	
	A41	6,162,436	12/19/00	Srivastava	
	A42	6,168,793	1/2/01	Srivastava et al.	
	A43	6,312,711	11/6/01	Duchateau et al.	
	A41	6,333,311	12/25/2001	Nuijens et al.	
	A45	6,338,945	01/15/02	Nicolette	
	A46	6,403,092	6/11/02	Pizzo et al.	
	A47	6,433,141	8/13/02	Wallen et al.	
	A48	6,689,363	02/10/04	Sette et al.	
	A49	6,709,672	3/23/04	Henot et al.	
	A50	6,713,608	3/30/04	Wallen et al.	
	A51	6,730,302	5/4/04	Fujihara et al.	
	A52	6,797,480	9/28/04	Srivastava	
	A53	6,986,389	01/06	Li	
	A54	7,176,515	03/06/07	Srivastava et al.	
	A55	7,179,462	02/20/07	Srivastava et al.	
	A56	7,132,109	11/07/06	Srivastava	

**EXAMINER****DATE CONSIDERED**

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### FOREIGN PATENT DOCUMENTS

	B01	DE 196 02 985 A1	1/27/96	Germany		
	B02	GB 2 251 186A	7/1/92	United Kingdom		
	B03	WO 00/03003	1/20/00	University of Nottingham		
	B04	WO 00/10597	03/02/00	Immunology Limited		
	B05	WO 00/34494	6/15/00	The Government of the United States of America represented by the Secretary, Dept. of Health and Human Services		
	B06	WO 00/38760	7/6/2000	Occulogix Corp		
	B07	WO 00/46246	8/10/00	The General Hospital Corp.		
	B08	WO 00/54801	9/21/2000	Entremed Inc		
	B09	WO 01/91787	6/12/01	University of Conneticut Health Center		
	B10	WO 01/92474	12/06/01	University of Conneticut Health Center		
	B11	WO 02/07755	1/3/2002	The General Hospital Corporation		
	B12	WO 02/11669	02/14/02	Antigenics, LLC		
	B13	WO 02/15930	2/28/02	Duke University		
	B14	WO 02/30434	4/18/02	University of Conneticut Health Center		
	B15	WO 02/32923	4/25/02	University of Conneticut Health Center		
	B16	WO 02/34205	5/2/02	University of Conneticut Health Center		
	B17	WO 03/015712	02/27/03	University of Conneticut Health Center		
	B18	WO 03/090686	11/06/03	University of Conneticut Health Center		
	B19	WO 03/092624	11/13/03	University of Conneticut Health Center		
	B20	WO 04/035602	04/29/04	University of Conneticut Health Center		
	B21	WO 04/075636	09/10/04	University of Conneticut Health Center		
	B22	WO 04/74454	09/02/04	University of Conneticut Health Center		
	B23	WO 05/120558	12/22/05	University of Conneticut Health Center		
	B24	WO 89/12455	12/28/89	Whitehead Institute for Biomedical Research Medical Research Council		

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**LIST OF REFERENCES CITED BY APPLICANT**

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**FOREIGN PATENT DOCUMENTS**

	B25	WO 90/02564	3/22/90	Codon Dragon		
	B26	WO 91/15572	10/17/91	The Wellcome Foundation Limited		
	B27	WO 92/01717	2/6/92	Burnie, James et al.		
	B28	WO 92/08484	5/29/92	University College London		
	B29	WO 92/08488	5/29/92	University College London		
	B30	WO 93/14118	7/22/93	Medical Research Council		
	B31	WO 93/17712	9/16/93	Biocine Sclavo Spa Rappuoli		
	B32	WO 93/18146	9/16/93	Institut National de la Sante et de la recherche medicale		
	B33	WO 93/18147	9/16/93	Institute Nazionale per lo studio e la cura dei tumori fondazione giovanni pascalle		
	B34	WO 93/18150	9/16/93	Biocine S.P.A.		
	B35	WO 93/21529	10/28/93	Duke University		
	B36	WO 93/24136	12/9/93	Terman, David S.		
	B37	WO 94/03208	2/17/94	Yeda Research and Development Company, Ltd		
	B38	WO 94/04676	3/3/94	The Victoria University of Manchester		
	B39	WO 94/11513	5/26/94	Medical Research Council Colston		
	B40	WO 94/14471	7/7/1994	Washington University		
	B41	WO 94/29459	12/22/94	Whitehead Institute for Biomedical Research		
	B42	WO 97/04794	2/13/97	The American National Red Cross – The General Hospital Corporation		
	B43	WO 97/06685	2/27/97	Sloan-Kettering Institute for Cancer Research		
	B44	WO 97/06821	2/27/97	Sloan-Kettering Institute for Cancer Research		
	B45	WO 97/06828	2/27/97	Sloan-Kettering Institute for Cancer Research		
	B46	WO 97/10001	03/20/97	Fordham University		
	B47	WO 97/26910	7/31/97	Max-delbruck medizen milleck		
	B48	WO 98/42752	10/01/98	Brigham and Woman's Hospital Inc.		
	B49	WO 98/46739	7/23/97	Juridicial Foundation the Chemo-Sero- therapeutic Research Institute		
	B50	WO 99/29834	06/17/99	Fordham University		

**EXAMINER****DATE CONSIDERED**

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C08	ABBAS et al., 1991, Cellular and Molecular Immunology, W.B. Saunders Co., Philadelphia (Chapters 15-18)	
	C09	AGOSTONI et al., 1994, "Activation of complement and kinin systems after thrombolytic therapy in patients with acute myocardial infarction. A comparison between streptokinase and recombinant tissue-type plasminogen activator." Circulation. 90(6):2666-70.	
	C10	ALDOVINI et al., 1992, "The New Vaccines", <i>Technology Review</i> pp. 24-31	
	C11	AMATO et al., 1999, "Active Specific Immunotherapy in Patients with Renal Cell Carcinoma (RCC) Using Autologous Tumor Derived Heat Shock Protein-Peptide Complex-96 (HSPP-96) Vaccine" <i>American Society Clinical Oncology Meeting</i> , abstract 1278	
	C12	ANDERSEN, P. 1994, "Effective vaccination of mice against Mycobacterium tuberculosis infection with a soluble mixture of secreted mycobacterial proteins," <i>Infect. Immun.</i> 62(6):2536-44	
	C13	ANDUS et al., Synthesis of alpha 2-macroglobulin in rat hepatocytes and in a cell-free system. <i>FEBS Lett.</i> 1983 Jan 10;151(1):10-14	
	C14	ANTHONY et al., 1999, "Priming of CD8+ CTL effector cells in mice by immunization with a stress protein-influenza virus nucleoprotein fusion molecule," <i>Vaccine</i> 17(4):373-83	
	C15	BANCHEREAU et al., 1998, "Dendritic cells and the control of immunity," <i>Nature</i> 392:245-252	
	C16	BARRIOS et al., 1992, "Mycobacterial heat-shock proteins as carrier molecules. II: The use of the 70-kDa mycobacterial heat-shock protein as carrier for conjugated vaccines can circumvent the need for adjuvants and Bacillus Calmette Guerin priming," <i>Eur. J. Immunol.</i> 22(6):1365-72	
	C17	BARRIOS et al., 1994, "Heat shock proteins as carrier molecules: in vivo helper effect mediated by Escherichia coli GroEL and Dna K proteins requires cross-linking with antigen," <i>Clin. Exp. Immunol.</i> 98(2):229-233	
	C18	BARRIOS et al., 1994, "Specificity of antibodies induced after immunization of mice with the mycobacterial heat shock protein of 65 kD." <i>Clin Exp Immunol.</i> 98(2):224-8	
	C19	BARTLETT, 1972 "Effect Of Host Immunity On The Antigenic Strength Of Primary Tumors." <i>J. Natl. Cancer Inst.</i> 49:493-504	
	C20	BASOMBRIO (1970) "Search for common antigenicities among twenty-five sarcomas induced by methylcholanthrene", <i>The Institute for Cancer Research</i> 30:2458-2462	
	C21	BASU and SRIVASTAVA, 1999, "Calreticulin, a peptide-binding chaperone of the endoplasmic reticulum, elicits tumor- and peptide-specific immunity" <i>J. Exp. Med.</i> 189:797-802	
	C22	BASU et al., 2000, "Necrotic but not apoptotic cell death releases heat shock proteins, which deliver a partial maturation signal to dendritic cells and activate the NF-kappa B pathway," <i>Int. Immunol.</i> 12(11):1539-46	
	C23	BASU et al., 2001, "CD91 is a common receptor for heat shock proteins gp96, hsp90, hsp70, and calreticulin," <i>Immunity</i> 14:303-313	
	C24	BEDNAR et al., 1997, "Activation of complement by tissue plasminogen activator, but not acute cerebral ischemia, in a rabbit model of thromboembolic stroke." <i>J. Neurosurg.</i> 86(1):139-42.	
	C25	BELLONE et al., 1999, "Cancer Immunotherapy: synthetic and natural peptides in balance," <i>Immunology Today</i> 20(10): 457-462	
	C26	BEVERLY, 1988, "Tumour Immunology." In: <i>Immunology</i> , 3rd Edition, Roitt, Ed., Mosby, London, pp. 17.1-17.12	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C27	BINDER and Srivastava, 2004, "Essential role of CD91 in re-presentation of gp96-chaperoned peptides," Proc. Natl. Acad. Sci. U.S.A. 101:6128-6133	
	C28	BINDER et al., 2000, "CD91: a receptor for heat shock protein gp96," Nature Immunol. 1(2):151-155	
	C29	BINDER et al., 2001, "Heat shock protein-chaperoned peptides but not free peptides introduced into the cytosol are presented efficiently by major histocompatibility complex I molecules," J. Biol. Chem. 276(20): 17163-17171	
	C30	BIRKENMEIER G., 2001, "Targetting the Proteinase Inhibitor and Immune Modulatory Function of Human $\alpha$ 2-Macroglobulin," Mod. Asp. Immunobiol. 2(1):32-36	
	C31	BLACHERE and SRIVASTAVA (1993) "Immunization with GP96 heat shock proteins isolated from tumors or influenza virus infected cells elicits MHC-restricted, antigen-specific cytotoxic T lymphocytes against the corresponding cells", <i>J. Cellular Biochem. Keystone Symposia</i> , 17D: pp. 124, Abstract NZ 502	
	C32	BLACHERE et al., 1993, "Heat Shock Protein Vaccines Against Cancer," <i>Journal of Immunotherapy</i> 14:352-356	
	C33	BLANDER et al., 1993, "Major cytoplasmic membrane protein of Legionella pneumophila, a genus common antigen and member of the hsp 60 family of heat shock proteins, induces protective immunity in a guinea pig model of Legionnaires' disease," J. Clin. Invest. 91(2):717-23	
	C34	BODEY et al., 2000, Anticancer Res 20:2665-2676 Abs	
	C35	BOSCH et al., 1999, "State of the art of therapeutic apheresis in Europe", Ther. Apher. 3(3):197-8	
	C36	BRELOER et al., 1999, "in vivo and in vitro activation of T cells after administration of Ag-negative heat shock proteins," J. Immunol. 162:3141-3147	
	C37	BUMOL et al., 1988 "Characterization Of The Human Tumor And Normal Tissue Reactivity Of The KS1/4 Monoclonal Antibody," <i>Hybridoma</i> 7:407-415	
	C38	CARSWELL et al., 1970, "Immunogenic Properties Of Reticulum Cell Sarcomas Of SJL/J Mice." <i>Natl. Cancer Inst.</i> 44:1281-1288	
	C39	CASSEL et al., 1977, "Viral oncolysate in the management of malignant melanoma. I. Preparation of the oncolysate and measurement of immunologic responses," Cancer 40:672-679	
	C40	CASSEL et al., 1983 "A Phase II Study On The Postsurgical Management Of Stage II Malignant Melanoma With A Newcastle Disease Virus Oncolysate." <i>Cancer</i> , 52:856-860	
	C41	CASTELLI et al., 2001, "Human Heat Shock Protein 70 Peptide Complexes Specifically Active Antimelanoma T cells." <i>Cancer Res</i> 61:222-227	
	C42	CHANDAWARKAR et al., 2004, "Immune modulation with high-dose heat shock protein gp96: therapy of murine autoimmune diabetes and encephalomyelitis," Int'l. Immunol. 16:315-324	
	C43	CHU et al., 1994, $\alpha$ 2-Macroglobulin: A Sensor for Proteolysis," <i>Ann. N.Y. Acad. Sci.</i> 737:291-307	
	C44	CLARKE et al. 1988, "Purification of Complexes of Nuclear Oncogene p53 with Rat and Escherichia coli Heat Shock Proteins: In Vitro Dissociation of hsc70 and dnaK from Murine p53 by ATP" <i>Mol. and Cell. Biol.</i> Vol. 8 (3) 1206-1215	
	C45	COLLEN et al., 1989, "Tissue-type plasminogen activator. A review of its pharmacology and therapeutic use as a thrombolytic agent." <i>Drugs</i> . 38(3):346-88.	
	C46	COSTANZO, 1996, "New monoclonal antibodies," <i>Curr. Opin. Cardiol.</i> 11(2):204-7	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C47	CRAIG, 1993, "Chaperones: Helpers Along the Pathways to Protein Folding," <i>Science</i> 260:1902-4	
	C48	D'ANDREA, 2005, "Add Alzheimer's disease to the list of autoimmune diseases," <i>Med. Hypotheses</i> 64(3):458-463	
	C49	DASH, <i>et al.</i> , 2002 "Slow-Tight Binding Inhibition of Xylanase by an Aspartic Protease Inhibitor." <i>J. Biol. Chem.</i> 277:17978-17986	
	C50	DAVIDOFF <i>et al.</i> , 1992, "Immune response to p53 is dependent upon p53/HSP70 complexes in breast cancers	
	C51	DEL GIUDICE <i>et al.</i> , 1994, "Hsp70: a carrier molecule with built-in adjuvanticity", <i>Experientia</i> 30:50(11-12):1061-6	
	C52	DERMER, 1994, "Another Anniversary for the War on Cancer," <i>Biotechnology</i> 12:320	
	C53	DEUTSCHER <i>et al.</i> , 1992 "Guide to protein purification." <i>Meth. Enzymol.</i> , 182:610-611	
	C54	DUBOIS <i>et al.</i> , 1980, "Immunogenic properties of soluble cytosol fractions on Meth A sarcoma cells," <i>Cancer Res.</i> 40:4204-4208	
	C55	DUBOIS, <i>et al.</i> , 1982 "Purification and Biochemical Properties of Tumor-Associated Transplantation Antigens From Methylcholanthrene-Induced Murine Sarcomas." <i>Proc. Natl. Acad. Sci USA</i> , 79:7669-7673	
	C59	ELLGAARD ET AL., 1997, "Dissection of the domain architecture of the alpha2macrglobulin-receptor associated protein." <i>Eur. J. Biochem</i> 244:544-51	
	C59	EPPLEN <i>et al.</i> , 1997, "Genetic predisposition to multiple sclerosis as revealed by immunoprinting," <i>Ann. Neurol.</i> 41(3):341-52.	
	C58	ESPANA <i>et al.</i> , 1996, <i>Clin. Chem</i> 42(3):545-550	
	C59	ESTIN <i>et al.</i> , 1989, "Transfected mouse melanoma lines that express various levels of human melanoma-associated antigen p97," <i>J. Natl. Cancer Inst.</i> 81:445-448	
	C60	EVANS <i>et al.</i> , 1999, <i>Q.J. Med</i> 92:299-307	
	C61	FALK <i>et al.</i> , 1990, "Cellular Peptide Composition Governed by Major Histocompatibility Complex Class I Molecules", <i>Nature</i> 348:248-251	
	C62	FALK <i>et al.</i> , 1991, "Identification of Naturally Processed Viral Nonapeptides Allows Their Quantification in Infected Cells and Suggests an Allele-specific T Cell Epitope Forecast". <i>J Exp. Med</i> 174:425-434	
	C63	FALK <i>et al.</i> , 1991, "Allele-specific Motifs Revealed by Sequencing of Self-peptides Eluted from MHC Molecules", <i>Nature</i> 351:290-296	
	C64	FALK <i>et al.</i> , 1992, "Specificity of antigen processing for MHC class I restricted presentation is conserved between mouse and man", <i>Eur. J. Immunol.</i> 22:1323-1326	
	C55	FAY <i>et al.</i> , 1979, "Leukopheresis Therapy of Leukemic Reticuloendotheliosis (Hairy Cell Leukemia)", <i>Blood</i> 54: 747-749	
	C66	FEDWEG and SRIVASTAVA "Evidence for biochemical heterogeneity of gp96 heat shock protein/tumor rejection antigen", <i>Mount Sinai School of Medicine NZ</i> 206, p. 108	
	C67	FENG <i>et al.</i> , 2002, "Exogenous heat shock proteins provide adjuvant effects on enhancing the immunogenicity of apoptotic tumor cells and inducing antitumor immunity," <i>AACR 93<sup>rd</sup> Annual Meeting</i> , Vol. 43, April 6-10, Abstract #2214	
	C68	FERRERO <i>et al.</i> , 1995, The GroES homolog of <i>Helicobacter pylori</i> confers protective immunity against mucosal infection in mice. <i>Proc Natl Acad Sci USA</i> 92(14):6499-503	

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

LIST OF REFERENCES CITED BY APPLICANT (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT	
	Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C69	FLYNN et al., 1989, "Peptide binding and release by proteins implicated as catalysts of protein assembly", <i>Science</i> 245:385-390	
	C70	FLYNN et al., 1991, "Peptide-binding Specificity of the Molecular Chaperone BiP", <i>Nature</i> 353:726-730	
	C71	FORRESTER et al., 1983, "Effect of modified alpha 2macroglobulin on leucocyte locomotion and chemotaxis", <i>Immunology</i> 50(2):251-9	
	C72	FRESHNEY, 1983, "Culture of Animal Cells, A Manual of Basic Technique," Alan R. Liss Inc., New York p4	
	C73	GAIGER et al., 2000, "Immunity to WT1 in the animal model and in patients with acute myeloid leukemia," <i>Blood</i> 96(4):1480-1489	
	C74	GALLUCCI et al., 1999, "Natural adjuvants: endogenous activators of dendritic cells," <i>Nat. Med.</i> 5:1249-55	
	C75	GELBER et al., 1992, "Vaccination of mice with a soluble protein fraction of Mycobacterium leprae provides consistent and long-term protection against M. leprae infection," <i>Infect Immun.</i> 60(5):1840-4	
	C76	GELBER et al., 1994, "Vaccination with pure Mycobacterium leprae proteins inhibits M. leprae multiplication in mouse footpads," <i>Infect Immun.</i> 62(10):4250-5	
	C77	GOMEZ et al., 1991, "Protective efficacy of a 62-kilodalton antigen, HIS-62, from the cell wall and cell membrane of Histoplasma capsulatum yeast cells." <i>Infect Immun.</i> 59(12):4459-64	
	C78	GOMEZ et al., 1992, "An 80-kilodalton antigen from Histoplasma capsulatum that has homology to heat shock protein 70 induces cell-mediated immune responses and protection in mice," <i>Infect Immun.</i> 60(7):2565-71	
	C76	GOMEZ et al., 1995, "Vaccination with recombinant heat shock protein 60 from Histoplasma capsulatum protects mice against pulmonary histoplasmosis." <i>Infect Immun.</i> 63(7):2587-95	
	C80	GOTO AND TANZI, 2002, "The role of the low-density lipoprotein receptor-related protein (LRP1) in Alzheimer's Abeta generation," <i>J. Mol. Neurosci.</i> 19:37-41	
	C81	GRAHAM, et al. 1955, "Antibodies Elicited by Cancer in Patients," <i>Cancer</i> 8:409-416	
	C82	GRANER et al. 2000, "Immunoprotective activities of multiple chaperone proteins isolated from murine B-cell leukemia/lymphoma" <i>Clin. Can. Res.</i> 6:909	
	C83	GRANER et al., 2000, "Tumor-derived multiple chaperone enrichment by free-solution isoelectric focusing yields potent antitumor vaccines" <i>Cancer Immunol. Immunother.</i> 49:476	
	C84	GRANER et al., 2003, "Tumor-derived chaperone-rich cell lysates are effective therapeutic vaccines against a variety of cancers," <i>Cancer Immunol. Immunother.</i> 52(4):226-234	
	C85	GRIFFEN, Jr., et al. 1972, "Colon Carcinoma and Immunologic Phenomena." <i>Surgical Clinics of North America</i> , Vol. 52:839-846	
	C86	GROBMANN et al., 1997, "Active-Specific Immunotherapy Of Pancreatic Carcinoma: Usefulness Of Human Pancreatic Carcinomas In Preparing Autologous Tumor Vaccines." <i>Anticancer Res.</i> 17: 3117-3120	
	C87	HALEVY et al. 1990, "Different Tumor-Derived p53 Mutants Exhibit Distinct Biological Activities", <i>Science</i> Vol. 250 113-116	
	C88	HANOVER et al., 1986, "Monoclonal antibodies against a glycoprotein localized in coated pits and endocytic vesicles inhibit alpha2-macroglobulin binding and uptake", <i>J. of Biol. Chem.</i> 261(35): 16732-16737.	
	C89	HARLOW et al., 1988, "Antibodies: A Laboratory Manual" ch 6:139-243	

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials		(Include name of the author (in CAPITAL LETTERS), Title, Date, Pertinent Pages, Etc.)	T
	C90	HEEB et al., 1995, "Prostate specific antigen-alpha 2-macroglobulin complexes in prostate cancer patient sera," <i>Biochem. Mol. Biol. Int.</i> 37(5):917-23	
	C91	HEISKALA et al., 1988 "Characteristics Of Soluble Tumour-Derived Proteins That Inhibit Natural Killer Activity." <i>Scand. J. Immunol.</i> 28:19-27	
	C92	HENTTU AND VIHKO, 1989 "cDNA Coding For The Entire Human Prostate Specific Antigen Shows High Homologies To The Human Tissue Kallikrein Genes." <i>Biochem. Biophys. Res. Comm.</i> 160:903-910	
	C93	HERZ AND STRICKLAND, 2001, "LRP: a multifunctional scavenger and signaling receptor," <i>J. Clin. Invest.</i> 108:779-784	
	C94	HERZ et al., 1990, "Low density lipoprotein receptor-related protein mediates endocytosis of monoclonal antibodies in cultured cells and rabbit liver", <i>J. of Biol. Chem.</i> 265(34): 21355-21362.	
	C95	HERZ et al., 1991, "39-kDa protein modulates binding of ligands to low density lipoprotein receptor-related protein/alpha-2-macroglobulin receptor." <i>J.Biol.Chem.</i> 266(31):21232-21238.	
	C96	HEY et al., 1988, "Cloning of a novel member of the low-density lipoprotein receptor family", <i>Gene</i> 216: 103-111.	
	C97	HINDS et al., 1987, "Immunological Evidence for the Association of p53 with a Heat Shock Protein, hsc70, in p53-plus-ras-Transformed Cell Lines" <i>Mol. and Cell. Biol.</i> Vol.7 (8) 2863-2869	

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT	
	Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

C98	HINDS et al., 1990, "Mutant p53 DNA Clones from Human Colon Carcinomas Cooperate with ras in Transforming Primary Rat Cells: A Comparison of the "Hot Spot" Mutant Phenotypes" Cell Growth and Differentiation Vol. 1 571-580
C99	HOLLINSHEAD, 1988, "Immunotherapy," in: <i>Cancer: The Outlaw Cell</i> , LaFond, ed., American Chemical Society, Washington, DC pp. 237-250 (Chapter 14)
C100	HORN et al., 1995, "Analysis of the binding of Pro-urokinase and urokinase-plasminogen activator inhibitor-1 complex to the low density lipoprotein receptor-related protein using a Fab fragment selected from a phage-displayed Fab library", J. of Biol. Chem. 270 (20): 11770-11775.
C101	HORWITZ et al., 1995, Protective immunity against tuberculosis induced by vaccination with major extracellular proteins of Mycobacterium tuberculosis. Proc Natl Acad Sci U S A. 92(5):1530-4
C102	HOUGHTEN et al., 1991, "Generation and use of synthetic peptide combinatorial libraries for basic research and drug discovery," Science 354:84-86
C103	HUBBARD et al., 1992, "Immunization of mice with mycobacterial culture filtrate proteins," Clin. Exp. Immunol. 87(1):94-8
C104	HUGHES et al., 1970, "A Study In Clinical Cancer Immunotherapy", <i>Cancer</i> , 26:269-278
C105	HUGHES et al., 1981, "Characterization of plasma membrane proteins identified by monoclonal antibodies", J. of Biol. Chem. 256(2): 664-671.
C106	HUMPHREY et al., 1984, "Adjuvant immunotherapy for melanoma," J. Surg. Oncol. 25:303-305
C107	HUNTER, N. et al., 1991, "Suppression of experimental allergic encephalomyelitis by alpha(2)-macroglobulin," Immunology 73:58-63
C108	ISAACS et al., 1988, "Use of anti-idiotypic antibodies to establish that monoclonal antibody 7H11D6 binds to the alpha2-macroglobulin receptor recognition site", J. Biol. Chem. 263(14): 6709-6714.
C109	ISHII et al., 1999, "Isolation of MHC class I-restricted tumor antigen peptide and its precursors associated with heat shock proteins hsp70, hsp90, and gp96", J Immunol. 162(3):1303-9
C110	ISRAELI et al., 1993, "Molecular Cloning Of A Complementary DNA Encoding A Prostate-Specific Membrane Antigen." <i>Cancer Res.</i> 53:227-230
C111	JAIN et al., 1994, "Barriers to drug delivery in solid tumors." Sc Am 171(1):58-65
C112	JAKOB et al., 1993, "Small Heat Shock Proteins Are Molecular Chaperones", <i>J. Biol. Chem.</i> 268:1517-1520
C113	JAMES, K., 1980, "Alpha (2) macroglobulin and its possible importance in immune systems," Trends in Biol. Sci. p.43-47
C114	JANETZKI et al., 2000, "Immunization of cancer patients with autologous cancer-derived heat shock protein gp96 preparations: a pilot study" <i>Int. J. of Cancer</i> 88:232-238
C115	JANEWAY, Travers, Walport, and Shlomchick, 2001, Immunobiology, 5th ed., Garland Publishing, New York (Part V, Sections 13-1 to 13-15)
C116	JARDETZKY et al., 1991, "Identification of Self Peptides Bound to Purified HLA-B27", <i>Nature</i> 353:326-329
C117	JINDAL et al., 1989, "Primary structure of a human mitochondrial protein homologous to the bacterial and plant chaperonins and to the 65-kilodalton mycobacterial antigen. Mol Cell Biol. 9(5):2279-83
C118	JOCHAM et al., 2004, "Adjuvant Autologous Renal Tumour Cell Vaccine and Risk of Tumour Progression in Patients with Renal-Cell Carcinoma After Radical Nephrectomy: Phase III, Randomised Controlled Trial." <i>The Lancet</i> , Vol 363:594-599

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

	C119	KATSANIS et al., 2000, "Augmentation of Tumor Lysate Immunogenicity by enrichment of Chaperone Proteins Using Free Solution Isoelectric Focusing (FS-IEF)" <i>Keystone Symposia on Cellular Immunity and Immunotherapy of Cancer</i> , abstract 431	
	C120	KATSUTANI et al., 1992, "Immunogenic properties of structurally modified human tissue plasminogen activators in chimpanzees and mice." <i>Fundam Appl Toxicol.</i> 19(4):555-62.	
	C121	KIM et al., 1998, "A new low density lipoprotein receptor related protein, LRP5, is expressed in hepatocytes and adrenal cortex, and recognized apolipoprotein E", <i>J. Biochem.</i> 124: 1072-1076.	
	C122	KIMBER et al., 2002, "Lactoferrin: influences on langerhans cells, epidermal cytokines, and cutaneous inflammation." <i>Biochem Cell Biol.</i> 2002;80(1):103-7.	
	C123	KOJIMA et al., 2002, "Combination therapy of tumor-derived gp96 and GM-CSF or IL-12-gene transduced tumor cells in the control of LLC tumor," <i>AACR 93<sup>rd</sup> Annual Meeting</i> , Vol. 43, Abstract #5516	
	C124	KOL et al., 2000, "Cutting edge: heat shock protein (HSP)60 activates the innate immune response: CD14 is an essential receptor for HSP60 activation of mononuclear cells", <i>J Immunol.</i> 164(1):13-17	
	C125	KOO, 1982, "Characterization of growth-inhibitory activities associated with an alpha-macroglobulin of mice," <i>Cancer Res.</i> 42(5):1788-97	
	C126	KORNFELD et al., 1980, "Plasmapheresis in Myasthenia Gravis," <i>Plasma Therapy</i> , 2(3): 127-133	
	C127	KRIPKE, 1974 "Antigenicity Of Murine Skin Tumors Induced By Ultraviolet Light." <i>J. Natl. Cancer Inst.</i> 53:1333-1336	
	C128	KRISTENSEN et al., 1990, "Evidence that the newly cloned low-density-lipoprotein receptor related protein (LRP) is the alpha 2-macroglobulin receptor", <i>FEBS Lett.</i> 276(1-2):151-5	
	C129	KUHLMANN et al., 1997, "Drug Research: from the idea to the product," <i>International Journal of Pharmacology and Therapeutics</i> 35:541-552	
	C130	LAKEY et al., 1987, "Identification of a peptide binding protein that plays a role in antigen presentation", <i>Proc. Natl. Acad. Sci. USA</i> 84:1659-1663	
	C131	LANZAVECCHIA, 1993, "Identifying Strategies for Immune Intervention", <i>Science</i> 260:937-944	
	C132	LÉVY, 1991, "ATP is Required for In Vitro Assembly of MHC Class I Antigens but Not for Transfer of Peptides across the ER Membrane", <i>Cell</i> 67:265-274	
	C133	LI and SRIVASTAVA, 1993, "Tumor rejection antigen gp96/grp94 is an ATPase: Implications for protein folding and antigen presentation", <i>EMBO J.</i> 12(8):3143-3151	
	C134	LIVINGSTON et al. 1985., "Serological Response of Melanoma Patients to Vaccines Prepared from VSV Lysates of Autologous and Allogeneic Cultured Melanoma Cells." <i>Cancer</i> , 55:713-720	
	C136	LODISH et al., <i>Molecular Cell Biology</i> , ch. 17.3 "Overview of the Secretory Pathway". pp 691-696, W.H. Freeman and Company 2000	
	C136	LUESCHER et al., 1991, "Specific Binding of Antigenic Peptides to Cell-associated MHC Class I Molecules", <i>Nature</i> 351:72-77	
	C137	LUKACS et al., 1993, "Tumor cells transfected with a bacterial heat-shock gene lose tumorigenicity and induce protection against tumors", <i>J. Exp. Med.</i> 178:343-348	
	C138	LUSSOW et al., 1991, "Mycobacterial heat-shock proteins as carrier molecules", <i>Eur J Immunol.</i> 21(10):2297-302	
	C139	MADDEN et al., 1991, "The Structure of HLA-B27 Reveals Nonamer Self-peptides Bound in an Extended Conformation", <i>Nature</i> 353:321-325	

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

	C140	MAKI (1991) "The Human Homologue of the Mouse Tumor Rejection Antigen GP96", Ph.D. thesis, Cornell University	
	C141	MARTIN et al., 1986, "Role of Murine Tumor Models in Cancer Treatment Research", Cancer Research 46:2189-2192	
	C142	MATSUTAKE et al., 2001, "The immunoprotective MHC II epitope of a chemically induced tumor harbors a unique mutation in a ribosomal protein," PNAS 98(7):3992-3997	
	C143	MELCHER et al., 1998, "Tumor immunogenicity is determined by the mechanism of cell death via induction of heat shock protein expression", Nat. Med. 5:581-7	
	C144	MELIEF et al., 1992, "Lessons from T Cell Responses to Virus Induced Tumours for Cancer Eradication in General", Career Surveys 13:81-99	
	C145	MELNICK, 1985, "Virus Vaccines: An Overview", Proceedings of the First Annual Southwest Foundation for Biomedical Research International Symposium, Houston, Texas, 8-10 November 1984, American Society for Microbiology pp. 1-13	
	C146	MENORET and CHANDAWARKAR, 1998, "Heat-shock protein-based anticancer immunotherapy: an idea whose time has come" Semin. in Oncology 25:654	
	C147	MENORET et al., 1995, "Co-segregation of tumor immunogenicity with expression of inducible but not constitutive hsp70 in rat colon carcinomas," J. Immunol. 155:740-7	
	C149	MILLWARD AND HOELTGE, 1982, "The Historical Development of Automated Hemapheresis", J. of Clin. Apheresis 1: 25-32	
	C149	MIZZEN et al., 1998, "Immune responses to stress proteins: applications to infectious disease and cancer," Biotherapy 10:173-185	
	C150	MOESTRUP et al., 1990, "Immunocytochemical identification of the human alpha 2-macroglobulin receptor in monocytes and fibroblasts: monoclonal antibodies define the receptor as a monocyte differentiation antigen", Exper. Cell Res. 190: 195-203.	
	C151	MOESTRUP et al., 1991, "Analysis of Ligand Recognition by the purified alpha-2M- macroglobulin receptor (low density lipoprotein receptor-related protein). J. Biol. Chem. 266(21):14011-14017.	
	C152	MOROI et al., 2000, "Induction of Cellular Immunity by Immunization with Novel Hybrid Peptides Complexed to Heat Shock PProtein 70." Proc. Natl. Acad. Sci. 97(7):3485-3490	
	C153	MSNBC News Services, 2000, "Mixed Results on new cancer drug."	
	C154	MULÉ et al., 1984, "Adoptive Immunotherapy of Established Pulmonary Metastases with LAK Cells and Recombinant Interleukin-2", Science 225:1487-1489	
	C155	MUNRO et al., 1986, "An Hsp70-like protein in the ER: identity with the 78 kd glucose-regulated protein and immunoglobulin heavy chain binding protein", Cell 46(2):291-300	
	C156	MURRAY et al., 1977 "Viral Oncolysate in the Management of Malignant Melanoma II, Clinical Studies." Cancer 40:680-686	
	C157	NAIR et al., 1977 "Antigen-Presenting Cells Pulsed With Unfractionated Tumor-Derived Peptides Are Potent Tumor Vaccines." Eur. J. Immunol. 27:589-597	
	C158	NAIR et al., 1999, "Calreticulin displays in vivo peptide-binding activity and can elicit CTL responses against bound peptides" J. Immunol. 162:6426	
	C159	NATALI et al., 1987 "Immunohistochemical Detection Of Antigen In Human Primary And Metastatic Melanomas By The Monoclonal Antibody 140.240 And Its Possible Prognostic Significance." Cancer, 59:55-63	

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT	
	Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

C160	NIELAND et al., 1996, "Isolation of an immunodominant viral peptide that is endogenously bound to the stress protein GP96/GRP94", Proc. Natl. Acad. Sci. USA 93:6135-6139	
C161	NORRBY, 1985, "Summary," in: <i>Vaccines 85</i> , Lerner et al., eds., Cold Spring Harbor Laboratory, Cold Spring Harbor, NY pp. 387-394	
C162	OETTGEN AND OLD, 1991 "The History Of Cancer Immunotherapy." In: <i>Introduction To The Biologic Therapy Of Cancer</i> , Devitta et al., Eds., Lippincott, Philadelphia, PA, pp.87-119 (Chapter 6)	
C163	OFFICE ACTION mailed on 02/26/02 for U.S. Application No. 09/625,137 filed 07/25/00	
C164	OFFICE ACTION mailed on 05/18/05 for U.S. Application No. 09/625,137 filed 07/25/00	
C165	OFFICE ACTION mailed on 10/05/04 for U.S. Application No. 09/625,137 filed 07/25/00	
C166	OFFICE ACTION mailed on 11/02/05 for U.S. Application No. 09/625,137 filed 07/25/00	
C167	OFFICE ACTION mailed on 12/31/02 for U.S. Application No. 09/625,137 filed 07/25/00	
C168	OFFICE ACTION mailed on 02/08/06 for U.S. Application No. 09/668,724 filed 09/22/00	
C169	OFFICE ACTION mailed on 02/25/03 for U.S. Application No. 09/668,724 filed 09/22/00	
C170	OFFICE ACTION mailed on 05/07/02 for U.S. Application No. 09/668,724 filed 09/22/00	
C171	OFFICE ACTION mailed on 06/20/07 for U.S. Application No. 09/668,724 filed 09/22/00	
C172	OFFICE ACTION mailed on 07/07/04 for U.S. Application No. 09/668,724 filed 09/22/00	
C173	OFFICE ACTION mailed on 09/21/06 for U.S. Application No. 09/668,724 filed 09/22/00	
C174	OFFICE ACTION mailed on 03/13/06 for U.S. Application No. 09/750,972 filed 12/28/00	
C175	OFFICE ACTION mailed on 06/05/02 for U.S. Application No. 09/750,972 filed 12/28/00	
C176	OFFICE ACTION mailed on 08/28/03 for U.S. Application No. 09/750,972 filed 12/28/00	
C177	OFFICE ACTION mailed on 01/11/06 for U.S. Application No. 10/225,367 filed 08/20/02	
C178	OFFICE ACTION mailed on 03/30/05 for U.S. Application No. 10/225,367 filed 08/20/02	
C179	OFFICE ACTION mailed on 04/18/07 for U.S. Application No. 10/225,367 filed 08/20/02	
C180	OFFICE ACTION mailed on 09/25/06 for U.S. Application No. 10/225,367 filed 08/20/02	
C181	OFFICE ACTION mailed on 10/19/07 for U.S. Application No. 10/225,367 filed 08/20/02	
C182	OFFICE ACTION mailed on 01/03/06 for U.S. Application No. 10/427,857 filed 05/01/03	
C183	OFFICE ACTION mailed on 10/15/07 for U.S. Application No. 10/546,106 filed 10/11/05	
C184	OFFICE ACTION mailed on 02/22/07 for U.S. Application No. 10/784,012 filed 02/20/04	
C185	OFFICE ACTION mailed on 08/07/06 for U.S. Application No. 10/784,012 filed 02/20/04	
C186	OFFICE ACTION mailed on 11/02/07 for U.S. Application No. 10/784,012 filed 02/20/04	
C187	OHASHI et al., 2000, Cutting edge: heat shock protein 60 is a putative endogenous ligand of the toll-like receptor-4 complex. J. Immunol. 164:558-561	
C188	OLD et al., 1962 "Part II. Antigens Of Tumor Cells. Antigenic Properties Of Chemically-Induced Tumors." Ann. N.Y. Acad. Sci. 101:80-106	
C189	OPEKUN et al., 1999, "Novel therapies for Helicobacter pylori infection." Aliment Pharmacol Ther. 13(1):35-42.	
C190	PAL P.G., et al., 1992, "Immunization with extracellular proteins of Mycobacterium tuberculosis induces cell-mediated immune responses and substantial protective immunity in a guinea pig model of pulmonary tuberculosis." Infect Immun. 60(11):4781-92	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

C191	PALLADINO et al., 1987, "Expression of shared tumor-specific antigen by two chemically induced BALB/c sarcomas", <i>Cancer Research</i> 47:5074-5079	
C192	PARDOLL, 2000, "Therapeutic vaccination for cancer", <i>Clin. Immunol.</i> 95(1 Pt 2): S44-62	
C193	PATTILLO, 1974 "Combination Chemotherapy-Immunotherapy Indirect Chemotherapy Sensitivity Testing and Specific and Non-Specific Immunostimulation." In: <i>Neoplasm Immunity: Theory and Application: Proceedings of a Chicago Symposium</i> , Crispen, Ed. ITR, Chicago, IL, pp. 189-204	
C194	PAUL, Ed., 1993 <i>Fundamental Immunology</i> , 3rd Edition, Raven Press, NY, p. 1158 and References 189-220 Cited On pp.1173-1174	
C195	PAUL. <i>Fundamental Immunology</i> . 1993 Third Edition, Raven Press, NY	
C196	PCT International Preliminary Examination Report mailed on 01/16/06 for Intl. Application No. PCT/US03/14390	
C197	PCT International Preliminary Examination Report mailed on 06/17/03 for Intl. Application No. PCT/US01/23098	
C198	PCT International Preliminary Examination Report mailed on 09/23/04 for Intl. Application No. PCT/US01/18041	
C199	PCT International Preliminary Examination Report mailed on 10/06/2005 for Intl. Application No. PCT/US02/26573	
C200	PCT International Preliminary Examination Report mailed on 10/11/06 for Intl. Application No. PCT/US2004/005110	
C201	PCT Written Opinion mailed on 10/11/06 for Intl. Application No. PCT/US2004/005110	
C202	PENG et al., 1997, "Purification of immunogenic heat shock protein 70-peptide complexes by ADP-affinity chromatography" <i>J. Immunol. Meth.</i> 204:13	
C203	PEREZ AND WALKER, 1989, "Isolation And Characterization Of A CcDNA Encoding The KS1/4 Epithelial Carcinoma Marker", <i>J. Immunol.</i> 142:3662-3667	
C204	PINEDA et al., 1994, "Applications of therapeutic apheresis," <i>Mayo Clin. Proc.</i> 69(9):893-4	
C205	PINHASI-KIMHI et al. 1986, "Specific interaction between the p53 cellular tumour antigen and major heat shock proteins", <i>Nature Vol</i> 320 (13) 182-184	
C206	PINILLA-Ibarz et al., 2000, "Vaccination of patients with chronic myelogenous leukemia with bcr-abl oncogene breakpoint fusion peptides generates specific immune responses," <i>Blood</i> 95(5):1781-1787	
C207	PREHN AND MAIN, 1957 "Immunity To Methylcholanthrene-Induced Sarcomas." <i>J. Natl. Cancer Inst.</i> 18:769-778	
C208	PROUD, G. et al., 1979, "Blood transfusion and renal transplantation," <i>Br. J. Sur.</i> 66:678-82	
C209	RAPLEY, 1995, "The biotechnology and applications of antibody engineering," <i>Mol. Biotechnol.</i> 3(2):139-54	
C210	REED et al., 1990, "Low incidence of antibodies to recombinant human tissue-type plasminogen activator in treated patients." <i>Thromb Haemost.</i> 64(2):276-80.	
C211	REPMANN et al. 1997 "Adjuvant Therapy Of Renal Cell Carcinoma With Active-Specific-Immunotherapy (ASI) Using Autologous Tumor Vaccine." <i>Anticancer Res.</i> 17:2879-2882	
C212	REPORT of the AMA Panel on Therapeutic Plasmapheresis, Current Status of Therapeutic Plasmapheresis and Related Techniques, December 1984	
C213	ROGERS et al., 1981, "Some immunogenic acid biochemical properties of tumor-associated transplantation antigens (TATA) obtained in soluble form or solubilized from two methylcholanthrene-induced sarcomas, Meth A and CI-4," <i>Int. J. Cancer</i> 27:789-796	

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

	C214	ROTHMAN, 1989, "Polypeptide Chain Binding Proteins: Catalysts of Protein Folding and Related Processes in Cells", <i>Cell</i> 59:591-601	
	C215	RÖTZSCHKE et al., 1990, "Isolation and Analysis of Naturally Processed Viral Peptides as Recognized by Cytotoxic T cells", <i>Nature</i> 348:248-251	
	C216	ROTZSCHKE, 1990, "Characterization of Naturally Occurring Minor Histocompatibility Peptides including H-4 and H-Y" <i>Science</i> 249: 283-287	
	C217	SALK et al., 1993, "A Strategy for Prophylactic Vaccination Against HIV", <i>Science</i> 260:1270-1272	
	C218	SALLUSTO et al., 1994, "Efficient presentation of soluble antigen by cultured human dendritic cells is maintained by granulocyte/macrophage colony-stimulating factor plus interleukin 4 and downregulated by tumor necrosis factor alpha," <i>J. Exp. Med.</i> 179(4):1109-1118	
	C219	SANO et al., 1987, "The augmentation of tumor-specific immunity using haptenic muramyl dipeptide (MDP) derivatives. II. Establishment of tumor-specific immunotherapy models utilizing MDP hapten-reactive helper T cell activity," <i>Cancer Immunol. Immunother.</i> 25(3):180-184	
	C220	SAUTER et al., 2000, "Consequences of cell death: exposure to necrotic tumor cells, but not primary tissue cells or apoptotic cells, induces the maturation of immunostimulatory dendritic cells", <i>J. Exp. Med.</i> 191:423-434	
	C221	SCHREIBER, 1989 "Tumor Immunology." In: <i>Fundamental Immunology</i> , 2nd Edition, Paul, ed. , pp; 923-955	
	C222	SCHUMACHER et al., 1991, "Peptide Selection by MHC Class I Molecules", <i>Nature</i> 350:703-706	
	C229	SENGUPTA et al., 2004, "Heat shock protein-mediated cross-presentation of exogenous HIV antigen on HLA Class I and Class II," <i>J. Immunol.</i> 173:1987-1993	
	C229	SILVA et al., 1994, "A single mycobacterial protein (hsp 65) expressed by a transgenic antigen-presenting cell vaccinates mice against tuberculosis", <i>Immunology</i> 82(2):244-8	
	C228	SINGH, 1997, "Neuroautoimmunity: pathogenic implications for Alzheimer's disease," <i>Gerontology</i> 43:79-94	
	C229	SMORODIN et al., 1991, "The complex of $\alpha$ -2 Macroglobulin with CD2 in the Plasma of Gastric Carcinoma Patients." <i>Scand J. Immunol</i> 33:699-706	
	C227	SORGER and PELHAM, 1987, "The glucose-regulated protein grp94 is related to heat shock protein hsp90", <i>J. Mol. Biol.</i> 194(2):341-4	
	C228	SOTGIU et al., 1998, "Genetic susceptibility to multiple sclerosis in Sardinians: an immunological study," <i>Acta. Neurol. Scand.</i> 98(5):314-7	
	C229	SPARKS et al., 1976, "Immunology and adjuvant chemoimmunotherapy of breast cancer," <i>Arch. Surg.</i> 111:1057-1062	
	C230	SPERO et al., 1980, "Plasma Exchange in Preparation of Mild Factor IX Deficient Hemophiliacs for Surgical Procedures," 19-22	
	C231	SRIVASTAVA and HEIKE, 1986, "Tumor-specific immunogenicity of stress-induced proteins: Convergence of two evolutionary pathways of antigen presentation?", <i>Seminars in Immunology</i> 3:57-64	
	C232	SRIVASTAVA and OLD (1989) "Gp96 Molecules: Recognition Elements in Tumor Immunity", <i>Human Tumor Antigens and Specific Tumor Therapy</i> , pages 63-71	
	C233	SRIVASTAVA and UDONO, 1994, "Heat shock protein-peptide complexes in cancer immunotherapy" <i>Curr. Opin. Immunol.</i> 6:728	
	C234	SRIVASTAVA et al. (1990) "Immunization with Soluble Gp96 Antigens Elicits Tumor-Specific Cellular Immunity:, Cellular Immunity and the Immunotherapy of Cancer, pages 307-314	

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT	
	Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

C235	SRIVASTAVA et al., 1984, "The Serologically Unique Cell Surface Antigen of Zajdela Ascitic Hepatoma is also its Tumor-Associated Transplantation Antigen", <i>Int. J. Cancer</i> 33:417-422	
C236	SRIVASTAVA et al., 1987, "5'-structural analysis of genes encoding polymorphic antigens of chemically induced tumors." <i>Proc. Natl. Acad. Sci USA</i> 84(11):3807-3811	
C237	SRIVASTAVA et al., 1988, "Individually distinct transplantation antigens of chemically induced mouse tumors," <i>Immunol. Today</i> 9:78-83	
C238	SRIVASTAVA et al., 1989, "Identification of a Human Homologue of the Murine Tumor Rejection Antigen GP96," <i>Cancer Res.</i> 49:1341-1343	
C239	SRIVASTAVA et al., 1991, "Protein Tumor Antigens", <i>Curr. Opin. Immunol.</i> 3:654-658	
C240	SRIVASTAVA et al., 1993, "Evidence for peptide-chaperoning by the endoplasmic reticular heat shock protein GP96: Implications for vaccination against cancer and infectious diseases", <i>J Cell Biochem Suppl</i> 17D:94 (Abstract NZ014)	
C241	SRIVASTAVA et al., 1998, "Heat shock proteins come of age: primitive functions acquire new roles in an adaptive world", <i>Immunity</i> 8(6):657-65	
C242	SRIVASTAVA PK, 1994, "Heat shock proteins in immune response to cancer: the Fourth Paradigm", <i>Experientia.</i> (11-12):1054-60	
C243	SRIVASTAVA, 1993, "Peptide-Binding Heat Shock Proteins in the Endoplasmic Reticulum: Role in Immune Response to Cancer and in Antigen Presentation," <i>Adv. Cancer Res.</i> 62:153-177	
C244	SRIVASTAVA, 2002, "Roles of heat-shock proteins in innate and adaptive immunity," <i>Nature Rev. Immunol.</i> 2(3): 185-194	
C245	STACK et al., 1982, "Autologous x-irradiated tumour cells and percutaneous BCG in operable lung cancer," <i>Thorax</i> 37(8):588-593	
C246	STEINMAN, L., 2001, "Myelin-specific CD8+ T cells in the pathogenesis of experimental allergic encephalitis and multiple sclerosis," <i>J. Exp. Med.</i> 194:F27-F30	
C247	STENMAN et al., 1991, "A complex between prostate-specific antigen and alpha 1-antichymotrypsin is the major form of prostate-specific antigen in serum of patients with prostatic cancer: assay of the complex improves clinical sensitivity for cancer," <i>Cancer Res.</i> 51(1):222-6	
C248	STEVENSON, 1999, "DNA vaccines against cancer: from genes to therapy," <i>Ann. Oncol.</i> 10:1413-8 Review	
C249	SUBBARAO et al., 1992, "A General Overview of Viral Vaccine Development," <i>Genetically Engineered Vaccines</i> 327:51-57	
C250	SUZUE et al., 1997, "Heat shock fusion proteins as vehicles for antigen delivery into the major histocompatibility complex class I presentation pathway," <i>Proc. Natl. Acad. Sci. USA</i> 94(24):13146-51	
C251	SUZUE K., Young R.A., 1996, "Heat shock proteins as immunological carriers and vaccines. in: Stress-Inducible Cellular Responses" (U. Feige, R. I. Morimoto, I. Yahara, B. S. Polla, eds.), Birkhauser/Springer, 77: 451-465	
C252	SUZUE K., Young R.A., 1996, "Adjuvant-free hsp70 fusion protein system elicits humoral and cellular immune responses to HIV-1" p24. <i>J Immunol.</i> 156(2):873-9	
C253	TAILOR et al., 1990, "Nucleotide Sequence Of Human Prostatic Acid Phosphatase Determined From A Full-Length cDNA Clone." <i>Nucl. Acids Res.</i> 18:4928 (1990)	
C254	TAIT, BD, 1990, "Genetic susceptibility to type I diabetes: a review," <i>J. Autoimmun.</i> 3 Suppl. 1:3-11	
C255	THE MERCK MANUAL of Diagnosis and Therapy, 1999, Beers and Berkow eds., Merck Research Laboratories, Whitehouse Station N.J., pp. 1871 and 1872	

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE June 4, 2001	ART UNIT 1643

### NON PATENT LITERATURE DOCUMENTS

C256	THOMAS et al., 1982, "Molecular and Cellular Effects of Heat Shock and Related Treatments of Mammalian Tissue-Culture Cells", <i>Cold Springs Harbor Symp Quant Biol</i> 46:985-996	
C257	TODRYK et al., 1999, "Heat shock protein 70 induced during tumor cell killing induces Th1 cytokines and targets immature dendritic cell precursors to enhance antigen uptake," <i>J. Immunol.</i> 163:1398-1408	
C258	TWINING et al., 1977, "Large scale separation of protease inhibitors from malignant human breast tissue," <i>Mol. Cell. Biochem.</i> 18(2-3):101-7	
C259	UDONO et al., 1994, "Comparison of Tumor-Specific Immunogenicities of Stress-Induced Proteins gp96, hsp90, and hsp70," <i>J. Immunol.</i> , 152(11):5398-5403	
C260	UDONO, 1993, "Heat shock proteins HSP70, HSP90 and GP96 elicit tumor specific immunity to the tumors from which they are isolated", <i>J. Cell. Biochem. Suppl.</i> 17D:113 (Abstract NZ225)	
C261	ULLRICH et al., 1986, "A mouse tumor-specific transplantation antigen is a heat shock-related protein," <i>Proc. Natl. Acad. Sci. USA</i> 83(10):3121-3125	
C262	URBANIAK AND ROBINSON, 1990, "ABC of transfusion. Therapeutic apheresis," <i>BMJ</i> 300(6725):662-5 Review	
C264	VAAGE, 1968 "Nonvirus-Associated Antigens In Virus-Induced Mouse Mammary Tumors." <i>Cancer Res.</i> 28:2477-2483	
C264	VANBUSKIRK et al., 1989, "Peptide binding protein having a role in antigen presentation is a member of the hsp70 heat shock family", <i>J. Exp. Med.</i> 170:1799-1809	
C265	VIJAYASARADHI et al., 1990 "The Melanoma Antigen gp75 Is The Human Homologue Of The Mouse b (Brown) Locus Gene Product." <i>J. Exp. Med.</i> 171:1375-1380	
C266	WALLNY et al., 1992, "Gene transfer experiments imply instructive role of major histocompatibility complex class I molecules in cellular peptide processing". <i>Eur. J. Immunol</i> 22:655-659	
C267	WANG et al., 2001, "Characterization of heat shock protein 110 and glucose-regulated protein 170 as cancer vaccines and the effect of fever-range hyperthermia on vaccine activity," <i>J. Immunol.</i> 166(1):490-497	
C268	WARSHAWAKY et al., 1993, "Identification of domains in the 39-kDa protein that inhibit the binding of ligands to the low density lipoprotein receptor-related protein," <i>J. Biol. Chem.</i> 268(29):22046-22054.	
C269	WEINER et al., 1980, "Plasmapheresis in multiple sclerosis: preliminary study," <i>Neurology</i> 30: 1029-33	
C270	WEINER et al., 2002, "Inflammation and therapeutic vaccination in CNS diseases," <i>Nature</i> 420:879-884	
C271	WELCH et al., 1982, "Purification of the Major Mammalian Heat Shock Proteins", <i>J. Biol. Chem.</i> 257:14949-14959	
C272	WELCH et al., 1985, "Rapid Purification of Mammalian 70,000-Dalton Stress Proteins: Affinity of the Proteins for Nucleotides", <i>Mol. Cell. Biol.</i> 5:1229-1237	
C273	WELCH et al., 1995, "Morphological study of the mammalian stress response: characterization of changes in cytoplasmic organelles, cytoskeleton, and nucleoli, and appearance of intranuclear actin filaments in rat fibroblasts after heat-shock treatment," <i>J. Cell. Biol.</i> 101:1198-1211	
C274	WELCH, 1993, "How Cells Respond to Stress," <i>Scientific American</i> 268(5):56-64	
C275	WILLNOW et al., 1996, "The low-density-lipoprotein receptor-related protein (LRP) is processed by furin in vivo and in vitro." <i>The Biochemical Journal. England</i> 313:71-76	
C276	WONG et al., 1991, "Susceptibility to type I diabetes in women is associated with the CD3 epsilon locus on chromosome 11," <i>Clin. Exp. Immunol.</i> 83(1):69-73	
C277	XIAO et al., 1995, "Characterization of hormonogenic sites in an N-terminal, cyanogen bromide fragment of human thyroglobulin." <i>Arch Biochem Biophys.</i> 20;320(1):96-105	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS


	C278	YAMAUCHI et al., 2000, "Oral administration of bovine lactoferrin for treatment of tinea pedis. A placebo-controlled, double-blind study." <i>Mycoses</i> .43(5):197-202.	
	C279	YANG et al., 1999, "Murine dendritic cells transfected with human GP100 elicit both antigen-specific CD8+ and CD4+ T-cell responses and are more effective than DNA vaccines at generating anti-tumor immunity," <i>Int. J. Cancer</i> 83:532-540	
	C280	YEDAVELLI et al., 1999, "Preventive and therapeutic effect of tumor derived heat shock protein, gp96, in an experimental prostate cancer model" <i>Int. J. Mol. Med.</i> 3:243	
	C281	YU et al., 1991, "Sequence Analysis of Peptides Bound to MHC Class II Molecules", <i>Nature</i> 353:622-627	
	C282	ZIMECKI et al., 1998, "Immunoregulatory effects of a nutritional preparation containing bovine lactoferrin taken orally by healthy individuals." <i>Arch Immunol Ther Exp (Warsz)</i> . 46(4):231-40.	
	C283	ZIMECKI et al., 1999, "Lactoferrin increases the output of neutrophil precursors and attenuates the spontaneous production of TNF-alpha and IL-6 by peripheral blood cells." <i>Arch Immunol Ther Exp (Warsz)</i> . 47(2):113-8.	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

box 3 of 3

	ATTY. DOCKET NO. 8449-178-999	APPLICATION NO. 09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE June 4, 2001	ART UNIT 1643

### NON PATENT LITERATURE DOCUMENTS

C98	HINDS et al., 1990, "Mutant p53 DNA Clones from Human Colon Carcinomas Cooperate with ras in Transforming Primary Rat Cells: A Comparison of the "Hot Spot" Mutant Phenotypes" Cell Growth and Differentiation Vol. 1 571-580
C99	HOLLINSHEAD, 1988, "Immunotherapy," in: <i>Cancer: The Outlaw Cell</i> , LaFond, ed., American Chemical Society, Washington, DC pp. 237-250 (Chapter 14)
C100	HORN et al., 1995, "Analysis of the binding of Pro-urokinase and urokinase-plasminogen activator inhibitor-1 complex to the low density lipoprotein receptor-related protein using a Fab fragment selected from a phage-displayed Fab library", J. of Biol. Chem. 270 (20): 11770-11775.
C101	HORWITZ et al., 1995, Protective immunity against tuberculosis induced by vaccination with major extracellular proteins of Mycobacterium tuberculosis. Proc Natl Acad Sci U S A. 92(5):1530-4
C102	HOUGHTEN et al., 1991, "Generation and use of synthetic peptide combinatorial libraries for basic research and drug discovery," Science 354:84-86
C103	HUBBARD et al., 1992, "Immunization of mice with mycobacterial culture filtrate proteins," Clin. Exp. Immunol. 87(1):94-8
C104	HUGHES et al., 1970, "A Study In Clinical Cancer Immunotherapy", <i>Cancer</i> , 26:269-278
C105	HUGHES et al., 1981, "Characterization of plasma membrane proteins identified by monoclonal antibodies", J. of Biol. Chem. 256(2): 664-671.
C106	HUMPHREY et al., 1984, "Adjuvant immunotherapy for melanoma," J. Surg. Concol. 25:303-305
C107	HUNTER, N. et al., 1991, "Suppression of experimental allergic encephalomyelitis by alpha(2)-macroglobulin," Immunology 73:58-63
C108	ISAACS et al., 1988, "Use of anti-idiotypic antibodies to establish that monoclonal antibody 7H11D6 binds to the alpha2-macroglobulin receptor recognition site", J. Biol. Chem. 263(14): 6709-6714.
C109	ISHII et al., 1999, "Isolation of MHC class I-restricted tumor antigen peptide and its precursors associated with heat shock proteins hsp70, hsp90, and gp96", J Immunol. 162(3):1303-9
C110	ISRAELI et al., 1993, "Molecular Cloning Of A Complementary DNA Encoding A Prostate-Specific Membrane Antigen." <i>Cancer Res.</i> 53:227-230
C111	JAIN et al., 1994, "Barriers to drug delivery in solid tumors." Sc Am 171(1):58-65
C112	JAKOB et al., 1993, "Small Heat Shock Proteins Are Molecular Chaperones", <i>J. Biol. Chem.</i> 268:1517-1520
C113	JAMES, K., 1980, "Alpha (2) macroglobulin and its possible importance in immune systems," Trends in Biol. Sci. p.43-47
C114	JANETZKI et al., 2000, "Immunization of cancer patients with autologous cancer-derived heat shock protein gp96 preparations: a pilot study" <i>Int. J. of Cancer</i> 88:232-238
C115	JANEWAY, Travers, Walport, and Shlomchick, 2001, Immunobiology, 5th ed., Garland Publishing, New York (Part V, Sections 13-1 to 13-15)
C116	JARDETZKY et al., 1991, "Identification of Self Peptides Bound to Purified HLA-B27", <i>Nature</i> 353:326-329
C117	JINDAL et al., 1989, "Primary structure of a human mitochondrial protein homologous to the bacterial and plant chaperonins and to the 65-kilodalton mycobacterial antigen. Mol Cell Biol. 9(5):2279-83
C118	JOCHAM et al., 2004, "Adjuvant Autologous Renal Tumour Cell Vaccine and Risk of Tumour Progression in Patients with Renal-Cell Carcinoma After Radical Nephrectomy: Phase III, Randomised Controlled Trial." <i>The Lancet</i> , Vol 363:594-599

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE June 4, 2001	ART UNIT 1643

### NON PATENT LITERATURE DOCUMENTS

C119	KATSANIS et al., 2000, "Augmentation of Tumor Lysate Immunogenicity by enrichment of Chaperone Proteins Using Free Solution Isoelectric Focusing (FS-IEF)" <i>Keystone Symposia on Cellular Immunity and Immunotherapy of Cancer</i> , abstract 431
C120	KATSUTANI et al., 1992, "Immunogenic properties of structurally modified human tissue plasminogen activators in chimpanzees and mice." <i>Fundam Appl Toxicol.</i> 19(4):555-62.
C121	KIM et al., 1998, "A new low density lipoprotein receptor related protein, LRP5, is expressed in hepatocytes and adrenal cortex, and recognized apolipoprotein E", <i>J. Biochem.</i> 124: 1072-1076.
C122	KIMBER et al., 2002, "Lactoferrin: influences on langerhans cells, epidermal cytokines, and cutaneous inflammation." <i>Biochem Cell Biol.</i> 2002;80(1):103-7.
C123	KOJIMA et al., 2002, "Combination therapy of tumor-derived gp96 and GM-CSF or IL-12-gene transduced tumor cells in the control of LLC tumor," <i>AACR 93<sup>rd</sup> Annual Meeting</i> , Vol. 43, Abstract #5516
C124	KOL et al., 2000, "Cutting edge: heat shock protein (HSP)60 activates the innate immune response: CD14 is an essential receptor for HSP60 activation of mononuclear cells", <i>J Immunol.</i> 164(1):13-17
C125	KOO, 1982, "Characterization of growth-inhibitory activities associated with an alpha-macroglobulin of mice," <i>Cancer Res.</i> 42(5):1788-97
C126	KORNFELD et al., 1980, "Plasmapheresis in Myasthenia Gravis," <i>Plasma Therapy</i> , 2(3): 127-133
C127	KRIPKE, 1974 "Antigenicity Of Murine Skin Tumors Induced By Ultraviolet Light." <i>J. Natl. Cancer Inst.</i> 53:1333-1336
C128	KRISTENSEN et al., 1990, "Evidence that the newly cloned low-density-lipoprotein receptor related protein (LRP) is the alpha 2-macroglobulin receptor", <i>FEBS Lett.</i> 276(1-2):151-5
C129	KUHLMANN et al., 1997, "Drug Research: from the idea to the product," <i>International Journal of Pharmacology and Therapeutics</i> 35:541-552
C130	LAKEY et al., 1987, "Identification of a peptide binding protein that plays a role in antigen presentation", <i>Proc. Natl. Acad. Sci. USA</i> 84:1659-1663
C131	LANZAVECCHIA, 1993, "Identifying Strategies for Immune Intervention", <i>Science</i> 260:937-944
C132	LÉVY, 1991, "ATP is Required for In Vitro Assembly of MHC Class I Antigens but Not for Transfer of Peptides across the ER Membrane", <i>Cell</i> 67:265-274
C133	LI and SRIVASTAVA, 1993, "Tumor rejection antigen gp96/grp94 is an ATPase: Implications for protein folding and antigen presentation", <i>EMBO J.</i> 12(8):3143-3151
C134	LIVINGSTON et al. 1985., "Serological Response of Melanoma Patients to Vaccines Prepared from VSV Lysates of Autologous and Allogeneic Cultured Melanoma Cells." <i>Cancer</i> , 55:713-720
C135	LODISH et al., <i>Molecular Cell Biology</i> , ch. 17.3 "Overview of the Secretory Pathway". pp 691-696, W.H. Freeman and Company 2000
C135	LUESCHER et al., 1991, "Specific Binding of Antigenic Peptides to Cell-associated MHC Class I Molecules", <i>Nature</i> 351:72-77
C137	LUKACS et al., 1993, "Tumor cells transfected with a bacterial heat-shock gene lose tumorigenicity and induce protection against tumors", <i>J. Exp. Med.</i> 178:343-348
C138	LUSSOW et al., 1991, "Mycobacterial heat-shock proteins as carrier molecules", <i>Eur J Immunol.</i> 21(10):2297-302
C139	MADDEN et al., 1991, "The Structure of HLA-B27 Reveals Nonamer Self-peptides Bound in an Extended Conformation", <i>Nature</i> 353:321-325

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

**LIST OF REFERENCES CITED BY APPLICANT**  
(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**NON PATENT LITERATURE DOCUMENTS**

C140	MAKI (1991) "The Human Homologue of the Mouse Tumor Rejection Antigen GP96", Ph.D. thesis, Cornell University	
C141	MARTIN et al., 1986, "Role of Murine Tumor Models in Cancer Treatment Research", Cancer Research 46:2189-2192	
C142	MATSUTAKE et al., 2001, "The immunoprotective MHC II epitope of a chemically induced tumor harbors a unique mutation in a ribosomal protein," PNAS 98(7):3992-3997	
C143	MELCHER et al., 1998, "Tumor immunogenicity is determined by the mechanism of cell death via induction of heat shock protein expression", Nat. Med. 5:581-7	
C144	MELIEF et al., 1992, "Lessons from T Cell Responses to Virus Induced Tumours for Cancer Eradication in General", Career Surveys 13:81-99	
C145	MELNICK, 1985, "Virus Vaccines: An Overview", Proceedings of the First Annual Southwest Foundation for Biomedical Research International Symposium, Houston, Texas, 8-10 November 1984, American Society for Microbiology pp. 1-13	
C146	MENORET and CHANDAWARKAR, 1998, "Heat-shock protein-based anticancer immunotherapy: an idea whose time has come" Semin. in Oncology 25:654	
C147	MENORET et al., 1995, "Co-segregation of tumor immunogenicity with expression of inducible but not constitutive hsp70 in rat colon carcinomas," J. Immunol. 155:740-7	
C148	MILLWARD AND HOELTGE, 1982, "The Historical Development of Automated Hemapheresis", J. of Clin. Apheresis 1: 25-32	
C147	MIZZEN et al., 1998, "Immune responses to stress proteins: applications to infectious disease and cancer," Biotherapy 10:173-185	
C150	MOESTRUP et al., 1990, "Immunocytochemical identification of the human alpha 2-macroglobulin receptor in monocytes and fibroblasts: monoclonal antibodies define the receptor as a monocyte differentiation antigen", Exper. Cell Res. 190: 195-203.	
C151	MOESTRUP et al., 1991, "Analysis of Ligand Recognition by the purified alpha-2M- macroglobulin receptor (low density lipoprotein receptor-related protein). J. Biol. Chem. 266(21):14011-14017.	
C152	MOROI et al., 2000, "Induction of Cellular Immunity by Immunization with Novel Hybrid Peptides Complexed to Heat Shock Protein 70." Proc. Natl. Acad. Sci. 97(7):3485-3490	
C153	MSNBC News Services, 2000, "Mixed Results on new cancer drug."	
C154	MULÉ et al., 1984, "Adoptive Immunotherapy of Established Pulmonary Metastases with LAK Cells and Recombinant Interleukin-2", Science 225:1487-1489	
C155	MUNRO et al., 1986, "An Hsp70-like protein in the ER: identity with the 78 kd glucose-regulated protein and immunoglobulin heavy chain binding protein", Cell 46(2):291-300	
C156	MURRAY et al., 1977 "Viral Oncolysate in the Management of Malignant Melanoma II, Clinical Studies." Cancer 40:680-686	
C157	NAIR et al., 1977 "Antigen-Presenting Cells Pulsed With Unfractionated Tumor-Derived Peptides Are Potent Tumor Vaccines." Eur. J. Immunol. 27:589-597	
C158	NAIR et al., 1999, "Calreticulin displays in vivo peptide-binding activity and can elicit CTL responses against bound peptides" J. Immunol. 162:6426	
C159	NATALI et al., 1987 "Immunohistochemical Detection Of Antigen In Human Primary And Metastatic Melanomas By The Monoclonal Antibody 140.240 And Its Possible Prognostic Significance." Cancer, 59:55-63	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

# **LIST OF REFERENCES CITED BY APPLICANT** (Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

## **NON PATENT LITERATURE DOCUMENTS**

- |      |   |
|------|---|
| C160 | NIELAND et al., 1996, "Isolation of an immunodominant viral peptide that is endogenously bound to the stress protein GP96/GRP94", Proc. Natl. Acad. Sci. USA 93:6135-6139   |
| C161 | NORRBY, 1985, "Summary," in: <i>Vaccines 85</i> , Lerner et al., eds., Cold Spring Harbor Laboratory, Cold Spring Harbor, NY pp. 387-394  |
| C162 | OETTGEN AND OLD, 1991 "The History Of Cancer Immunotherapy." In: <i>Introduction To The Biologic Therapy Of Cancer</i> . Devitta et al., Eds., Lippincott, Philadelphia, PA, pp.87-119 (Chapter 6)  |
| C163 | OFFICE ACTION mailed on 02/26/02 for U.S. Application No. 09/625,137 filed 07/25/00   |
| C164 | OFFICE ACTION mailed on 05/18/05 for U.S. Application No. 09/625,137 filed 07/25/00   |
| C165 | OFFICE ACTION mailed on 10/05/04 for U.S. Application No. 09/625,137 filed 07/25/00   |
| C166 | OFFICE ACTION mailed on 11/02/05 for U.S. Application No. 09/625,137 filed 07/25/00   |
| C167 | OFFICE ACTION mailed on 12/31/02 for U.S. Application No. 09/625,137 filed 07/25/00   |
| C168 | OFFICE ACTION mailed on 02/08/06 for U.S. Application No. 09/668,724 filed 09/22/00   |
| C169 | OFFICE ACTION mailed on 02/25/03 for U.S. Application No. 09/668,724 filed 09/22/00   |
| C170 | OFFICE ACTION mailed on 05/07/02 for U.S. Application No. 09/668,724 filed 09/22/00   |
| C171 | OFFICE ACTION mailed on 06/20/07 for U.S. Application No. 09/668,724 filed 09/22/00   |
| C172 | OFFICE ACTION mailed on 07/07/04 for U.S. Application No. 09/668,724 filed 09/22/00   |
| C179 | OFFICE ACTION mailed on 09/21/06 for U.S. Application No. 09/668,724 filed 09/22/00   |
| C174 | OFFICE ACTION mailed on 03/13/06 for U.S. Application No. 09/750,972 filed 12/28/00   |
| C175 | OFFICE ACTION mailed on 06/05/02 for U.S. Application No. 09/750,972 filed 12/28/00   |
| C176 | OFFICE ACTION mailed on 08/28/03 for U.S. Application No. 09/750,972 filed 12/28/00   |
| C177 | OFFICE ACTION mailed on 01/11/06 for U.S. Application No. 10/225,367 filed 08/20/02   |
| C179 | OFFICE ACTION mailed on 03/30/05 for U.S. Application No. 10/225,367 filed 08/20/02   |
| C179 | OFFICE ACTION mailed on 04/18/07 for U.S. Application No. 10/225,367 filed 08/20/02   |
| C180 | OFFICE ACTION mailed on 09/25/06 for U.S. Application No. 10/225,367 filed 08/20/02   |
| C181 | OFFICE ACTION mailed on 10/19/07 for U.S. Application No. 10/225,367 filed 08/20/02   |
| C182 | OFFICE ACTION mailed on 01/03/06 for U.S. Application No. 10/427,857 filed 05/01/03   |
| C183 | OFFICE ACTION mailed on 10/15/07 for U.S. Application No. 10/546,106 filed 10/11/05   |
| C184 | OFFICE ACTION mailed on 02/22/07 for U.S. Application No. 10/784,012 filed 02/20/04   |
| C185 | OFFICE ACTION mailed on 08/07/06 for U.S. Application No. 10/784,012 filed 02/20/04   |
| C186 | OFFICE ACTION mailed on 11/02/07 for U.S. Application No. 10/784,012 filed 02/20/04   |
| C187 | OHASHI et al., 2000, Cutting edge: heat shock protein 60 is a putative endogenous ligand of the toll-like receptor-4 complex. J. Immunol. 164:558-561   |
| C188 | OLD et al., 1962 "Part II. Antigens Of Tumor Cells. Antigenic Properties Of Chemically-Induced Tumors." Ann. N.Y. Acad. Sci. 101:80-106   |
| C189 | OPEKUN et al., 1999, "Novel therapies for Helicobacter pylori infection." Aliment Pharmacol Ther. 13(1):35-42.  |
| C190 | PAL P.G., et al., 1992, "Immunization with extracellular proteins of Mycobacterium tuberculosis induces cell-mediated immune responses and substantial protective immunity in a guinea pig model of pulmonary tuberculosis." Infect Immun. 60(11):4781-92 |

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

C191	PALLADINO et al., 1987, "Expression of shared tumor-specific antigen by two chemically induced BALB/c sarcomas", <i>Cancer Research</i> 47:5074-5079	
C192	PARDOLL, 2000, "Therapeutic vaccination for cancer", <i>Clin. Immunol.</i> 95(1 Pt 2): S44-62	
C193	PATTILLO, 1974 "Combination Chemotherapy-Immunotherapy Indirect Chemotherapy Sensitivity Testing and Specific and Non-Specific Immunostimulation." In: <i>Neoplasm Immunity: Theory and Application: Proceedings of a Chicago Symposium</i> , Crispen, Ed. ITR, Chicago, IL, pp. 189-204	
C194	PAUL, Ed., 1993 <i>Fundamental Immunology</i> , 3rd Edition, Raven Press, NY, p. 1158 and References 189-220 Cited On pp.1173-1174	
C195	PAUL. <i>Fundamental Immunology</i> . 1993 Third Edition, Raven PPress, NY	
C196	PCT International Preliminary Examination Report mailed on 01/16/06 for Intl. Application No. PCT/US03/14390	
C197	PCT International Preliminary Examination Report mailed on 06/17/03 for Intl. Application No. PCT/US01/23098	
C198	PCT International Preliminary Examination Report mailed on 09/23/04 for Intl. Application No. PCT/US01/18041	
C199	PCT International Preliminary Examination Report mailed on 10/06/2005 for Intl. Application No. PCT/US02/26573	
C200	PCT International Preliminary Examination Report mailed on 10/11/06 for Intl. Application No. PCT/US2004/005110	
C201	PCT Written Opinion mailed on 10/11/06 for Intl. Application No. PCT/US2004/005110	
C202	PENG et al., 1997, "Purification of immunogenic heat shock protein 70-peptide complexes by ADP-affinity chromatography" <i>J. Immunol. Meth.</i> 204:13	
C203	PEREZ AND WALKER, 1989, "Isolation And Characterization Of A CcDNA Encoding The KS1/4 Epithelial Carcinoma Marker", <i>J. Immunol.</i> 142:3662-3667	
C204	PINEDA et al., 1994, "Applications of therapeutic apheresis," <i>Mayo Clin. Proc.</i> 69(9):893-4	
C205	PINHASI-KIMHI et al. 1986, "Specific interaction between the p53 cellular tumour antigen and major heat shock protiens", <i>Nature Vol</i> 320 (13) 182-184	
C205	PINILLA-Ibarz et al., 2000, "Vaccination of patients with chronic myelogenous leukemia with bcr-abl oncogene breakpoint fusion peptides generates specific immune responses," <i>Blood</i> 95(5):1781-1787	
C207	PREHN AND MAIN, 1957 "Immunity To Methylcholanthrene-Induced Sarcomas." <i>J. Natl. Cancer Inst.</i> 18:769-778	
C208	PROUD, G. et al., 1979, "Blood transfusion and renal transplantation," <i>Br. J. Sur.</i> 66:678-82	
C209	RAPLEY, 1995, "The biotechnology and applications of antibody engineering," <i>Mol. Biotechnol.</i> 3(2):139-54	
C210	REED et al., 1990, "Low incidence of antibodies to recombinant human tissue-type plasminogen activator in treated patients." <i>Thromb Haemost.</i> 64(2):276-80.	
C211	REPMANN et al. 1997 "Adjuvant Therapy Of Renal Cell Carcinoma With Active-Specific-Immunotherapy (ASI) Using Autologous Tumor Vaccine." <i>Anticancer Res.</i> 17:2879-2882	
C212	REPORT of the AMA Panel on Therapeutic Plasmapheresis, Current Status of Therapeutic Plasmapheresis and Related Techniques, December 1984	
C213	ROGERS et al., 1981, "Some immunogenic acid biochemical properties of tumor-associated transplantation antigens (TATA) obtained in soluble form or solubilized from two methylcholanthrene-induced sarcomas, Meth A and CI-4," <i>Int. J. Cancer</i> 27:789-796	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE June 4, 2001	ART UNIT 1643

### NON PATENT LITERATURE DOCUMENTS

	C214	ROTHMAN, 1989, "Polypeptide Chain Binding Proteins: Catalysts of Protein Folding and Related Processes in Cells", <i>Cell</i> 59:591-601	
	C215	RÖTZSCHKE et al., 1990, "Isolation and Analysis of Naturally Processed Viral Peptides as Recognized by Cytotoxic T cells", <i>Nature</i> 348:248-251	
	C216	ROTZSCHKE, 1990, "Characterization of Naturally Occurring Minor Histocompatibility Peptides including H-4 and H-Y" <i>Science</i> 249: 283-287	
	C217	SALK et al., 1993, "A Strategy for Prophylactic Vaccination Against HIV", <i>Science</i> 260:1270-1272	
	C218	SALLUSTO et al., 1994, "Efficient presentation of soluble antigen by cultured human dendritic cells is maintained by granulocyte/macrophage colony-stimulating factor plus interleukin 4 and downregulated by tumor necrosis factor alpha," <i>J. Exp. Med.</i> 179(4):1109-1118	
	C219	SANO et al., 1987, "The augmentation of tumor-specific immunity using haptenic muramyl dipeptide (MDP) derivatives. II. Establishment of tumor-specific immunotherapy models utilizing MDP hapten-reactive helper T cell activity," <i>Cancer Immunol. Immunother.</i> 25(3):180-184	
	C220	SAUTER et al., 2000, "Consequences of cell death: exposure to necrotic tumor cells, but not primary tissue cells or apoptotic cells, induces the maturation of immunostimulatory dendritic cells", <i>J. Exp. Med.</i> 191:423-434	
	C221	SCHREIBER, 1989 "Tumor Immunology." In: <i>Fundamental Immunology</i> , 2nd Edition, Paul, ed., pp: 923-955	
	C222	SCHUMACHER et al., 1991, "Peptide Selection by MHC Class I Molecules", <i>Nature</i> 350:703-706	
	C223	SENGUPTA et al., 2004, "Heat shock protein-mediated cross-presentation of exogenous HIV antigen on HLA Class I and Class II," <i>J. Immunol.</i> 173:1987-1993	
	C224	SILVA et al., 1994, "A single mycobacterial protein (hsp 65) expressed by a transgenic antigen-presenting cell vaccinates mice against tuberculosis", <i>Immunology</i> 82(2):244-8	
	C225	SINGH, 1997, "Neuroautoimmunity: pathogenic implications for Alzheimer's disease," <i>Gerontology</i> 43:79-94	
	C228	SMORODIN et al., 1991, "The complex of $\alpha$ -2 Macroglobulin with CD2 in the Plasma of Gastric Carcinoma Patients." <i>Scand J. Immunol</i> 33:699-706	
	C221	SORGER and PELHAM, 1987, "The glucose-regulated protein grp94 is related to heat shock protein hsp90", <i>J. Mol. Biol.</i> 194(2):341-4	
	C228	SOTGIU et al., 1998, "Genetic susceptibility to multiple sclerosis in Sardinians: an immunological study," <i>Acta. Neurol. Scand.</i> 98(5):314-7	
	C228	SPARKS et al., 1976, "Immunology and adjuvant chemioimmunotherapy of breast cancer," <i>Arch. Surg.</i> 111:1057-1062	
	C230	SPERO et al., 1980, "Plasma Exchange in Preparation of Mild Factor IX Deficient Hemophiliacs for Surgical Procedures," 19-22	
	C231	SRIVASTAVA and HEIKE, 1986, "Tumor-specific immunogenicity of stress-induced proteins: Convergence of two evolutionary pathways of antigen presentation?", <i>Seminars in Immunology</i> 3:57-64	
	C232	SRIVASTAVA and OLD (1989) "Gp96 Molecules: Recognition Elements in Tumor Immunity", <i>Human Tumor Antigens and Specific Tumor Therapy</i> , pages 63-71	
	C233	SRIVASTAVA and UDONO, 1994, "Heat shock protein-peptide complexes in cancer immunotherapy" <i>Curr. Opin. Immunol.</i> 6:728	
	C234	SRIVASTAVA et al. (1990) "Immunization with Soluble Gp96 Antigens Elicits Tumor-Specific Cellular Immunity:, Cellular Immunity and the Immunotherapy of Cancer, pages 307-314	

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE June 4, 2001	ART UNIT 1643

### NON PATENT LITERATURE DOCUMENTS

C235	SRIVASTAVA et al., 1984, "The Serologically Unique Cell Surface Antigen of Zajdela Ascitic Hepatoma is also its Tumor-Associated Transplantation Antigen", <i>Int. J. Cancer</i> 33:417-422	
C236	SRIVASTAVA et al., 1987, "5'-structural analysis of genes encoding polymorphic antigens of chemically induced tumors." <i>Proc. Natl. Acad. Sci USA</i> 84(11):3807-3811	
C237	SRIVASTAVA et al., 1988, "Individually distinct transplantation antigens of chemically induced mouse tumors," <i>Immunol. Today</i> 9:78-83	
C238	SRIVASTAVA et al., 1989, "Identification of a Human Homologue of the Murine Tumor Rejection Antigen GP96," <i>Cancer Res.</i> 49:1341-1343	
C239	SRIVASTAVA et al., 1991, "Protein Tumor Antigens", <i>Curr. Opin. Immunol.</i> 3:654-658	
C240	SRIVASTAVA et al., 1993, "Evidence for peptide-chaperoning by the endoplasmic reticular heat shock protein GP96: Implications for vaccination against cancer and infectious diseases", <i>J Cell Biochem Suppl</i> 17D:94 (Abstract NZ014)	
C241	SRIVASTAVA et al., 1998, "Heat shock proteins come of age: primitive functions acquire new roles in an adaptive world", <i>Immunity</i> 8(6):657-65	
C242	SRIVASTAVA PK, 1994, "Heat shock proteins in immune response to cancer: the Fourth Paradigm", <i>Experientia.</i> (11-12):1054-60	
C243	SRIVASTAVA, 1993, "Peptide-Binding Heat Shock Proteins in the Endoplasmic Reticulum: Role in Immune Response to Cancer and in Antigen Presentation," <i>Adv. Cancer Res.</i> 62:153-177	
C244	SRIVASTAVA, 2002, "Roles of heat-shock proteins in innate and adaptive immunity," <i>Nature Rev. Immunol.</i> 2(3): 185-194	
C245	STACK et al., 1982, "Autologous x-irradiated tumour cells and percutaneous BCG in operable lung cancer," <i>Thorax</i> 37(8):588-593	
C246	STEINMAN, L., 2001, "Myelin-specific CD8+ T cells in the pathogenesis of experimental allergic encephalitis and multiple sclerosis," <i>J. Exp. Med.</i> 194:F27-F30	
C247	STENMAN et al., 1991, "A complex between prostate-specific antigen and alpha 1-antichymotrypsin is the major form of prostate-specific antigen in serum of patients with prostatic cancer: assay of the complex improves clinical sensitivity for cancer," <i>Cancer Res.</i> 51(1):222-6	
C248	STEVENSON, 1999, "DNA vaccines against cancer: from genes to therapy," <i>Ann. Oncol.</i> 10:1413-8 Review	
C249	SUBBARAO et al., 1992, "A General Overview of Viral Vaccine Development," <i>Genetically Engineered Vaccines</i> 327:51-57	
C250	SUZUE et al., 1997, "Heat shock fusion proteins as vehicles for antigen delivery into the major histocompatibility complex class I presentation pathway," <i>Proc. Natl. Acad. Sci. USA</i> 94(24):13146-51	
C251	SUZUE K., Young R.A., 1996, "Heat shock proteins as immunological carriers and vaccines. in: Stress-Inducible Cellular Responses" (U. Feige, R. I. Morimoto, I. Yahara, B. S. Polla, eds.), Birkhauser/Springer, 77: 451-465	
C252	SUZUE K., Young R.A., 1996, "Adjuvant-free hsp70 fusion protein system elicits humoral and cellular immune responses to HIV-1" p24. <i>J Immunol.</i> 156(2):873-9	
C253	TAILOR et al., 1990, "Nucleotide Sequence Of Human Prostatic Acid Phosphatase Determined From A Full-Length cDNA Clone." <i>Nucl. Acids Res.</i> 18:4928 (1990)	
C254	TAIT, BD, 1990, "Genetic susceptibility to type I diabetes: a review," <i>J. Autoimmun.</i> 3 Suppl. 1:3-11	
C255	THE MERCK MANUAL of Diagnosis and Therapy, 1999, Beers and Berkow eds., Merck Research Laboratories, Whitehouse Station N.J., pp. 1871 and 1872	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



## LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

## NON PATENT LITERATURE DOCUMENTS

- |      |  |
|------|--|
| C256 | THOMAS et al., 1982, "Molecular and Cellular Effects of Heat Shock and Related Treatments of Mammalian Tissue-Culture Cells", <i>Cold Springs Harbor Symp Quant Biol</i> 46:985-996  |
| C257 | TODRYK et al., 1999, "Heat shock protein 70 induced during tumor cell killing induces Th1 cytokines and targets immature dendritic cell precursors to enhance antigen uptake," <i>J. Immunol.</i> 163:1398-1408  |
| C258 | TWINING et al., 1977, "Large scale separation of protease inhibitors from malignant human breast tissue," <i>Mol. Cell. Biochem.</i> 18(2-3):101-7   |
| C259 | UDONO et al., 1994, "Comparison of Tumor-Specific Immunogenicities of Stress-Induced Proteins gp96, hsp90, and hsp70," <i>J. Immunol.</i> , 152(11):5398-5403  |
| C260 | UDONO, 1993, "Heat shock proteins HSP70, HSP90 and GP96 elicit tumor specific immunity to the tumors from which they are isolated", <i>J. Cell. Biochem. Suppl.</i> 17D:113 (Abstract NZ225)   |
| C261 | ULLRICH et al., 1986, "A mouse tumor-specific transplantation antigen is a heat shock-related protein," <i>Proc. Natl. Acad. Sci. USA</i> 83(10):3121-3125   |
| C262 | URBANIAK AND ROBINSON, 1990, "ABC of transfusion. Therapeutic apheresis," <i>BMJ</i> 300(6725):662-5 Review  |
| C263 | VAAGE, 1968 "Nonvirus-Associated Antigens In Virus-Induced Mouse Mammary Tumors." <i>Cancer Res.</i> 28:2477-2483  |
| C264 | VANBUSKIRK et al., 1989, "Peptide binding protein having a role in antigen presentation is a member of the hsp70 heat shock family", <i>J. Exp. Med.</i> 170:1799-1809   |
| C265 | VIJAYASARADHI et al., 1990 "The Melanoma Antigen gp75 Is The Human Homologue Of The Mouse <i>b</i> (Brown) Locus Gene Product." <i>J. Exp. Med.</i> 171:1375-1380  |
| C266 | WALLNY et al., 1992, "Gene transfer experiments imply instructive role of major histocompatibility complex class I molecules in cellular peptide processing". <i>Eur. J. Immunol</i> 22:655-659  |
| C267 | WANG et al., 2001, "Characterization of heat shock protein 110 and glucose-regulated protein 170 as cancer vaccines and the effect of fever-range hyperthermia on vaccine activity," <i>J. Immunol.</i> 166(1):490-497   |
| C268 | WARSHAWAKY et al., 1993, "Identification of domains in the 39-kDa protein that inhibit the binding of ligands to the low density lipoprotein receptor-related protein," <i>J. Biol. Chem.</i> 268(29):22046-22054.   |
| C269 | WEINER et al., 1980, "Plasmapheresis in multiple sclerosis: preliminary study," <i>Neurology</i> 30: 1029-33   |
| C270 | WEINER et al., 2002, "Inflammation and therapeutic vaccination in CNS diseases," <i>Nature</i> 420:879-884   |
| C271 | WELCH et al., 1982, "Purification of the Major Mammalian Heat Shock Proteins", <i>J. Biol. Chem.</i> 257:14949-14959   |
| C272 | WELCH et al., 1985, "Rapid Purification of Mammalian 70,000-Dalton Stress Proteins: Affinity of the Proteins for Nucleotides", <i>Mol. Cell. Biol.</i> 5:1229-1237   |
| C273 | WELCH et al., 1995, "Morphological study of the mammalian stress response: characterization of changes in cytoplasmic organelles, cytoskeleton, and nucleoli, and appearance of intranuclear actin filaments in rat fibroblasts after heat-shock treatment," <i>J. Cell. Biol.</i> 101:1198-1211 |
| C274 | WELCH, 1993, "How Cells Respond to Stress," <i>Scientific American</i> 268(5):56-64  |
| C275 | WILLNOW et al., 1996, "The low-density-lipoprotein receptor-related protein (LRP) is processed by furin in vivo and in vitro." <i>The Biochemical Journal. England</i> 313:71-76   |
| C276 | WONG et al., 1991, "Susceptibility to type I diabetes in women is associated with the CD3 epsilon locus on chromosome 11," <i>Clin. Exp. Immunol.</i> 83(1):69-73  |
| C277 | XIAO et al., 1995, "Characterization of hormonogenic sites in an N-terminal, cyanogen bromide fragment of human thyroglobulin." <i>Arch Biochem Biophys.</i> 20:320(1):96-105  |

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**LIST OF REFERENCES CITED BY APPLICANT**  
(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**NON PATENT LITERATURE DOCUMENTS**

C278	YAMAUCHI et al., 2000, "Oral administration of bovine lactoferrin for treatment of tinea pedis. A placebo-controlled, double-blind study." <i>Mycoses</i> .43(5):197-202.	
C279	YANG et al., 1999, "Murine dendritic cells transfected with human GP100 elicit both antigen-specific CD8+ and CD4+ T-cell responses and are more effective than DNA vaccines at generating anti-tumor immunity," <i>Int. J. Cancer</i> 83:532-540	
C280	YEDAVELLI et al., 1999, "Preventive and therapeutic effect of tumor derived heat shock protein, gp96, in an experimental prostate cancer model" <i>Int. J. Mol. Med.</i> 3:243	
C281	YU et al., 1991, "Sequence Analysis of Peptides Bound to MHC Class II Molecules", <i>Nature</i> 353:622-627	
C282	ZIMECKI et al., 1998, "Immunoregulatory effects of a nutritional preparation containing bovine lactoferrin taken orally by healthy individuals." <i>Arch Immunol Ther Exp (Warsz)</i> . 46(4):231-40.	
C283	ZIMECKI et al., 1999, "Lactoferrin increases the output of neutrophil precursors and attenuates the spontaneous production of TNF-alpha and IL-6 by peripheral blood cells." <i>Arch Immunol Ther Exp (Warsz)</i> . 47(2):113-8.	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT	
	Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643



### NON PATENT LITERATURE DOCUMENTS

C98	HINDS et al., 1990, "Mutant p53 DNA Clones from Human Colon Carcinomas Cooperate with ras in Transforming Primary Rat Cells: A Comparison of the "Hot Spot" Mutant Phenotypes" Cell Growth and Differentiation Vol. 1 571-580
C99	HOLLINSHEAD, 1988, "Immunotherapy," in: <i>Cancer: The Outlaw Cell</i> , LaFond, ed., American Chemical Society, Washington, DC pp. 237-250 (Chapter 14)
C100	HORN et al., 1995, "Analysis of the binding of Pro-urokinase and urokinase-plasminogen activator inhibitor-1 complex to the low density lipoprotein receptor-related protein using a Fab fragment selected from a phage-displayed Fab library", J. of Biol. Chem. 270 (20): 11770-11775.
C101	HORWITZ et al., 1995, Protective immunity against tuberculosis induced by vaccination with major extracellular proteins of Mycobacterium tuberculosis. Proc Natl Acad Sci U S A. 92(5):1530-4
C102	HOUGHTEN et al., 1991, "Generation and use of synthetic peptide combinatorial libraries for basic research and drug discovery," Science 354:84-86
C103	HUBBARD et al., 1992, "Immunization of mice with mycobacterial culture filtrate proteins," Clin. Exp. Immunol. 87(1):94-8
C104	HUGHES et al., 1970, "A Study In Clinical Cancer Immunotherapy", <i>Cancer</i> , 26:269-278
C105	HUGHES et al., 1981, "Characterization of plasma membrane proteins identified by monoclonal antibodies", J. of Biol./ Chem. 256(2): 664-671.
C106	HUMPHREY et al., 1984, "Adjuvant immunotherapy for melanoma," J. Surg. Concol. 25:303-305
C107	HUNTER, N. et al., 1991, "Suppression of experimental allergic encephalomyelitis by alpha(2)-macroglobulin," Immunology 73:58-63
C108	ISAACS et al., 1988, "Use of anti-idiotypic antibodies to establish that monoclonal antibody 7H11D6 binds to the alpha2-macroglobulin receptor recognition site", J. Biol. Chem. 263(14): 6709-6714.
C109	ISHII et al., 1999, "Isolation of MHC class I-restricted tumor antigen peptide and its precursors associated with heat shock proteins hsp70, hsp90, and gp96", J Immunol. 162(3):1303-9
C110	ISRAELI et al., 1993, "Molecular Cloning Of A Complementary DNA Encoding A Prostate-Specific Membrane Antigen." <i>Cancer Res.</i> 53:227-230
C111	JAIN et al., 1994, "Barriers to drug delivery in solid tumors." Sc Am 171(1):58-65
C112	JAKOB et al., 1993, "Small Heat Shock Proteins Are Molecular Chaperones", <i>J. Biol. Chem.</i> 268:1517-1520
C113	JAMES, K., 1980, "Alpha (2) macroglobulin and its possible importance in immune systems," Trends in Biol. Sci. p.43-47
C114	JANETZKI et al., 2000, "Immunization of cancer patients with autologous cancer-derived heat shock protein gp96 preparations: a pilot study" <i>Int. J. of Cancer</i> 88:232-238
C115	JANEWAY, Travers, Walport, and Shlomchick, 2001, Immunobiology, 5th ed., Garland Publishing, New York (Part V, Sections 13-1 to 13-15)
C116	JARDETZKY et al., 1991, "Identification of Self Peptides Bound to Purified HLA-B27", <i>Nature</i> 353:326-329
C117	JINDAL et al., 1989, "Primary structure of a human mitochondrial protein homologous to the bacterial and plant chaperonins and to the 65-kilodalton mycobacterial antigen. Mol Cell Biol. 9(5):2279-83
C118	JOCHAM et al., 2004, "Adjuvant Autologous Renal Tumour Cell Vaccine and Risk of Tumour Progression in Patients with Renal-Cell Carcinoma After Radical Nephrectomy: Phase III, Randomised Controlled Trial." <i>The Lancet</i> , Vol 363:594-599

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

LIST OF REFERENCES CITED BY APPLICANT (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT	
	Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

## NON PATENT LITERATURE DOCUMENTS

C119	KATSANIS et al., 2000, "Augmentation of Tumor Lysate Immunogenicity by enrichment of Chaperone Proteins Using Free Solution Isoelectric Focusing (FS-IEF)" <i>Keystone Symposia on Cellular Immunity and Immunotherapy of Cancer</i> , abstract 431
C120	KATSUTANI et al., 1992, "Immunogenic properties of structurally modified human tissue plasminogen activators in chimpanzees and mice." <i>Fundam Appl Toxicol.</i> 19(4):555-62.
C121	KIM et al., 1998, "A new low density lipoprotein receptor related protein, LRP5, is expressed in hepatocytes and adrenal cortex, and recognized apolipoprotein E", <i>J. Biochem.</i> 124: 1072-1076.
C122	KIMBER et al., 2002, "Lactoferrin: influences on langerhans cells, epidermal cytokines, and cutaneous inflammation." <i>Biochem Cell Biol.</i> 2002;80(1):103-7.
C123	KOJIMA et al., 2002, "Combination therapy of tumor-derived gp96 and GM-CSF or IL-12-gene transduced tumor cells in the control of LLC tumor," <i>AACR 93<sup>rd</sup> Annual Meeting</i> , Vol. 43, Abstract #5516
C124	KOL et al., 2000, "Cutting edge: heat shock protein (HSP)60 activates the innate immune response: CD14 is an essential receptor for HSP60 activation of mononuclear cells", <i>J Immunol.</i> 164(1):13-17
C125	KOO, 1982, "Characterization of growth-inhibitory activities associated with an alpha-macroglobulin of mice," <i>Cancer Res.</i> 42(5):1788-97
C126	KORNFELD et al., 1980, "Plasmapheresis in Myasthenia Gravis," <i>Plasma Therapy</i> , 2(3): 127-133
C127	KRIPKE, 1974 "Antigenicity Of Murine Skin Tumors Induced By Ultraviolet Light." <i>J. Natl. Cancer Inst.</i> 53:1333-1336
C128	KRISTENSEN et al., 1990, "Evidence that the newly cloned low-density-lipoprotein receptor related protein (LRP) is the alpha 2-macroglobulin receptor", <i>FEBS Lett.</i> 276(1-2):151-5
C129	KUHLMANN et al., 1997, "Drug Research: from the idea to the product," <i>International Journal of Pharmacology and Therapeutics</i> 35:541-552
C130	LAKEY et al., 1987, "Identification of a peptide binding protein that plays a role in antigen presentation", <i>Proc. Natl. Acad. Sci. USA</i> 84:1659-1663
C131	LANZAVECCHIA, 1993, "Identifying Strategies for Immune Intervention", <i>Science</i> 260:937-944
C132	LÉVY, 1991, "ATP is Required for In Vitro Assembly of MHC Class I Antigens but Not for Transfer of Peptides across the ER Membrane", <i>Cell</i> 67:265-274
C133	LI and SRIVASTAVA, 1993, "Tumor rejection antigen gp96/grp94 is an ATPase: Implications for protein folding and antigen presentation", <i>EMBO J.</i> 12(8):3143-3151
C134	LIVINGSTON et al. 1985., "Serological Response of Melanoma Patients to Vaccines Prepared from VSV Lysates of Autologous and Allogeneic Cultured Melanoma Cells." <i>Cancer</i> , 55:713-720
C135	LODISH et al., <i>Molecular Cell Biology</i> , ch. 17.3 "Overview of the Secretory Pathway". pp 691-696, W.H. Freeman and Company 2000
C136	LUESCHER et al., 1991, "Specific Binding of Antigenic Peptides to Cell-associated MHC Class I Molecules", <i>Nature</i> 351:72-77
C137	LUKACS et al., 1993, "Tumor cells transfected with a bacterial heat-shock gene lose tumorigenicity and induce protection against tumors", <i>J. Exp. Med.</i> 178:343-348
C138	LUSSOW et al., 1991, "Mycobacterial heat-shock proteins as carrier molecules", <i>Eur J Immunol.</i> 21(10):2297-302
C139	MADDEN et al., 1991, "The Structure of HLA-B27 Reveals Nonamer Self-peptides Bound in an Extended Conformation", <i>Nature</i> 353:321-325

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT	
	Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

NON PATENT LITERATURE DOCUMENTS		
C140	MAKI (1991) "The Human Homologue of the Mouse Tumor Rejection Antigen GP96", Ph.D. thesis, Cornell University	
C141	MARTIN et al., 1986, "Role of Murine Tumor Models in Cancer Treatment Research", Cancer Research 46:2189-2192	
C142	MATSUTAKE et al., 2001, "The immunoprotective MHC II epitope of a chemically induced tumor harbors a unique mutation in a ribosomal protein," PNAS 98(7):3992-3997	
C143	MELCHER et al., 1998, "Tumor immunogenicity is determined by the mechanism of cell death via induction of heat shock protein expression", Nat. Med. 5:581-7	
C144	MELIEF et al., 1992, "Lessons from T Cell Responses to Virus Induced Tumours for Cancer Eradication in General", Career Surveys 13:81-99	
C145	MELNICK, 1985, "Virus Vaccines: An Overview", Proceedings of the First Annual Southwest Foundation for Biomedical Research International Symposium, Houston, Texas, 8-10 November 1984, American Society for Microbiology pp. 1-13	
C146	MENORET and CHANDAWARKAR, 1998, "Heat-shock protein-based anticancer immunotherapy: an idea whose time has come" Semin. in Oncology 25:654	
C147	MENORET et al., 1995, "Co-segregation of tumor immunogenicity with expression of inducible but not constitutive hsp70 in rat colon carcinomas," J. Immunol. 155:740-7	
C148	MILLWARD AND HOELTGE, 1982, "The Historical Development of Automated Hemapheresis", J. of Clin. Apheresis 1: 25-32	
C149	MIZZEN et al., 1998, "Immune responses to stress proteins: applications to infectious disease and cancer," Biotherapy 10:173-185	
C150	MOESTRUP et al., 1990, "Immunocytochemical identification of the human alpha 2-macroglobulin receptor in monocytes and fibroblasts: monoclonal antibodies define the receptor as a monocyte differentiation antigen", Exper. Cell Res. 190: 195-203.	
C151	MOESTRUP et al., 1991, "Analysis of Ligand Recognition by the purified alpha-2M- macroglobulin receptor (low density lipoprotein receptor-related protein). J. Biol. Chem. 266(21):14011-14017.	
C152	MOROI et al., 2000, "Induction of Cellular Immunity by Immunization with Novel Hybrid Peptides Complexed to Heat Shock Protein 70." Proc. Natl. Acad. Sci. 97(7):3485-3490	
C153	MSNBC News Services, 2000, "Mixed Results on new cancer drug."	
C154	MULÉ et al., 1984, "Adoptive Immunotherapy of Established Pulmonary Metastases with LAK Cells and Recombinant Interleukin-2", Science 225:1487-1489	
C155	MUNRO et al., 1986, "An Hsp70-like protein in the ER: identity with the 78 kd glucose-regulated protein and immunoglobulin heavy chain binding protein", Cell 46(2):291-300	
C156	MURRAY et al., 1977 "Viral Oncolysate in the Management of Malignant Melanoma II, Clinical Studies." Cancer 40:680-686	
C157	NAIR et al., 1977 "Antigen-Presenting Cells Pulsed With Unfractionated Tumor-Derived Peptides Are Potent Tumor Vaccines." Eur. J. Immunol. 27:589-597	
C158	NAIR et al., 1999, "Calreticulin displays in vivo peptide-binding activity and can elicit CTL responses against bound peptides" J. Immunol. 162:6426	
C159	NATALI et al., 1987 "Immunohistochemical Detection Of Antigen In Human Primary And Metastatic Melanomas By The Monoclonal Antibody 140.240 And Its Possible Prognostic Significance." Cancer, 59:55-63	

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

C160	NIELAND et al., 1996, "Isolation of an immunodominant viral peptide that is endogenously bound to the stress protein GP96/GRP94", Proc. Natl. Acad. Sci. USA 93:6135-6139	
C161	NORRBY, 1985, "Summary," in: <i>Vaccines 85</i> , Lerner et al., eds., Cold Spring Harbor Laboratory, Cold Spring Harbor, NY pp. 387-394	
C162	OETTGEN AND OLD, 1991 "The History Of Cancer Immunotherapy." In: <i>Introduction To The Biologic Therapy Of Cancer</i> , Devitta et al., Eds., Lippincott, Philadelphia, PA, pp.87-119 (Chapter 6)	
C163	OFFICE ACTION mailed on 02/26/02 for U.S. Application No. 09/625,137 filed 07/25/00	
C164	OFFICE ACTION mailed on 05/18/05 for U.S. Application No. 09/625,137 filed 07/25/00	
C165	OFFICE ACTION mailed on 10/05/04 for U.S. Application No. 09/625,137 filed 07/25/00	
C166	OFFICE ACTION mailed on 11/02/05 for U.S. Application No. 09/625,137 filed 07/25/00	
C167	OFFICE ACTION mailed on 12/31/02 for U.S. Application No. 09/625,137 filed 07/25/00	
C168	OFFICE ACTION mailed on 02/08/06 for U.S. Application No. 09/668,724 filed 09/22/00	
C169	OFFICE ACTION mailed on 02/25/03 for U.S. Application No. 09/668,724 filed 09/22/00	
C170	OFFICE ACTION mailed on 05/07/02 for U.S. Application No. 09/668,724 filed 09/22/00	
C171	OFFICE ACTION mailed on 06/20/07 for U.S. Application No. 09/668,724 filed 09/22/00	
C172	OFFICE ACTION mailed on 07/07/04 for U.S. Application No. 09/668,724 filed 09/22/00	
C173	OFFICE ACTION mailed on 09/21/06 for U.S. Application No. 09/668,724 filed 09/22/00	
C173	OFFICE ACTION mailed on 03/13/06 for U.S. Application No. 09/750,972 filed 12/28/00	
C175	OFFICE ACTION mailed on 06/05/02 for U.S. Application No. 09/750,972 filed 12/28/00	
C176	OFFICE ACTION mailed on 08/28/03 for U.S. Application No. 09/750,972 filed 12/28/00	
C177	OFFICE ACTION mailed on 01/11/06 for U.S. Application No. 10/225,367 filed 08/20/02	
C173	OFFICE ACTION mailed on 03/30/05 for U.S. Application No. 10/225,367 filed 08/20/02	
C173	OFFICE ACTION mailed on 04/18/07 for U.S. Application No. 10/225,367 filed 08/20/02	
C180	OFFICE ACTION mailed on 09/25/06 for U.S. Application No. 10/225,367 filed 08/20/02	
C181	OFFICE ACTION mailed on 10/19/07 for U.S. Application No. 10/225,367 filed 08/20/02	
C182	OFFICE ACTION mailed on 01/03/06 for U.S. Application No. 10/427,857 filed 05/01/03	
C183	OFFICE ACTION mailed on 10/15/07 for U.S. Application No. 10/546,106 filed 10/11/05	
C184	OFFICE ACTION mailed on 02/22/07 for U.S. Application No. 10/784,012 filed 02/20/04	
C185	OFFICE ACTION mailed on 08/07/06 for U.S. Application No. 10/784,012 filed 02/20/04	
C186	OFFICE ACTION mailed on 11/02/07 for U.S. Application No. 10/784,012 filed 02/20/04	
C187	OHASHI et al., 2000, Cutting edge: heat shock protein 60 is a putative endogenous ligand of the toll-like receptor-4 complex. J. Immunol. 164:558-561	
C188	OLD et al., 1962 "Part II. Antigens Of Tumor Cells. Antigenic Properties Of Chemically-Induced Tumors." <i>Ann. N.Y. Acad. Sci.</i> 101:80-106	
C189	OPEKUN et al., 1999, "Novel therapies for Helicobacter pylori infection." <i>Aliment Pharmacol Ther.</i> 13(1):35-42.	
C190	PAL P.G., et al., 1992, "Immunization with extracellular proteins of Mycobacterium tuberculosis induces cell-mediated immune responses and substantial protective immunity in a guinea pig model of pulmonary tuberculosis." <i>Infect Immun.</i> 60(11):4781-92	

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT	
	Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

	C191	PALLADINO et al., 1987, "Expression of shared tumor-specific antigen by two chemically induced BALB/c sarcomas", <i>Cancer Research</i> 47:5074-5079	
	C192	PARDOLL, 2000, "Therapeutic vaccination for cancer", <i>Clin. Immunol.</i> 95(1 Pt 2): S44-62	
	C193	PATILLO, 1974 "Combination Chemotherapy-Immunotherapy Indirect Chemotherapy Sensitivity Testing and Specific and Non-Specific Immunostimulation." In: <i>Neoplasm Immunity: Theory and Application: Proceedings of a Chicago Symposium</i> , Crispen, Ed. ITR, Chicago, IL, pp. 189-204	
	C194	PAUL, Ed., 1993 <i>Fundamental Immunology</i> , 3rd Edition, Raven Press, NY, p. 1158 and References 189-220 Cited On pp.1173-1174	
	C195	PAUL. <i>Fundamental Immunology</i> . 1993 Third Edition, Raven Press, NY	
	C196	PCT International Preliminary Examination Report mailed on 01/16/06 for Intl. Application No. PCT/US03/14390	
	C197	PCT International Preliminary Examination Report mailed on 06/17/03 for Intl. Application No. PCT/US01/23098	
	C198	PCT International Preliminary Examination Report mailed on 09/23/04 for Intl. Application No. PCT/US01/18041	
	C199	PCT International Preliminary Examination Report mailed on 10/06/2005 for Intl. Application No. PCT/US02/26573	
	C200	PCT International Preliminary Examination Report mailed on 10/11/06 for Intl. Application No. PCT/US2004/005110	
	C201	PCT Written Opinion mailed on 10/11/06 for Intl. Application No. PCT/US2004/005110	
	C202	PENG et al., 1997, "Purification of immunogenic heat shock protein 70-peptide complexes by ADP-affinity chromatography" <i>J. Immunol. Meth.</i> 204:13	
	C203	PEREZ AND WALKER, 1989, "Isolation And Characterization Of A CcDNA Encoding The KS1/4 Epithelial Carcinoma Marker", <i>J. Immunol.</i> 142:3662-3667	
	C204	PINEDA et al., 1994, "Applications of therapeutic apheresis," <i>Mayo Clin. Proc.</i> 69(9):893-4	
	C205	PINHASI-KIMHI et al. 1986, "Specific interaction between the p53 cellular tumour antigen and major heat shock proteins", <i>Nature Vol 320 (13)</i> 182-184	
	C206	PINILLA-Ibarz et al., 2000, "Vaccination of patients with chronic myelogenous leukemia with bcr-abl oncogene breakpoint fusion peptides generates specific immune responses," <i>Blood</i> 95(5):1781-1787	
	C207	PREHN AND MAIN, 1957 "Immunity To Methylcholanthrene-Induced Sarcomas." <i>J. Natl. Cancer Inst.</i> 18:769-778.	
	C208	PROUD, G. et al., 1979, "Blood transfusion and renal transplantation," <i>Br. J. Sur.</i> 66:678-82	
	C206	RAPLEY, 1995, "The biotechnology and applications of antibody engineering," <i>Mol. Biotechnol.</i> 3(2):139-54	
	C210	REED et al., 1990, "Low incidence of antibodies to recombinant human tissue-type plasminogen activator in treated patients." <i>Thromb Haemost.</i> 64(2):276-80.	
	C211	REPMANN et al. 1997 "Adjuvant Therapy Of Renal Cell Carcinoma With Active-Specific-Immunotherapy (ASI) Using Autologous Tumor Vaccine." <i>Anticancer Res.</i> 17:2879-2882	
	C212	REPORT of the AMA Panel on Therapeutic Plasmapheresis, Current Status of Therapeutic Plasmapheresis and Related Techniques, December 1984	
	C213	ROGERS et al., 1981, "Some immunogenic acid biochemical properties of tumor-associated transplantation antigens (TATA) obtained in soluble form or solubilized from two methylcholanthrene-induced sarcomas, Meth A and CI-4," <i>Int. J. Cancer</i> 27:789-796	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

## LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

## NON PATENT LITERATURE DOCUMENTS

C214	ROTHMAN, 1989, "Polypeptide Chain Binding Proteins: Catalysts of Protein Folding and Related Processes in Cells", <i>Cell</i> 59:591-601	
C215	RÖTZSCHKE et al., 1990, "Isolation and Analysis of Naturally Processed Viral Peptides as Recognized by Cytotoxic T cells", <i>Nature</i> 348:248-251	
C216	ROTZSCHKE, 1990, "Characterization of Naturally Occurring Minor Histocompatibility Peptides including H-4 and H-Y" <i>Science</i> 249: 283-287	
C217	SALK et al., 1993, "A Strategy for Prophylactic Vaccination Against HIV", <i>Science</i> 260:1270-1272	
C218	SALLUSTO et al., 1994, "Efficient presentation of soluble antigen by cultured human dendritic cells is maintained by granulocyte/macrophage colony-stimulating factor plus interleukin 4 and downregulated by tumor necrosis factor alpha," <i>J. Exp. Med.</i> 179(4):1109-1118	
C219	SANO et al., 1987, "The augmentation of tumor-specific immunity using haptenic muramyl dipeptide (MDP) derivatives. II. Establishment of tumor-specific immunotherapy models utilizing MDP hapten-reactive helper T cell activity," <i>Cancer Immunol. Immunother.</i> 25(3):180-184	
C220	SAUTER et al., 2000, "Consequences of cell death: exposure to necrotic tumor cells, but not primary tissue cells or apoptotic cells, induces the maturation of immunostimulatory dendritic cells", <i>J. Exp. Med.</i> 191:423-434	
C221	SCHREIBER, 1989 "Tumor Immunology." In: <i>Fundamental Immunology</i> , 2nd Edition, Paul, ed. , pp; 923-955	
C222	SCHUMACHER et al., 1991, "Peptide Selection by MHC Class I Molecules", <i>Nature</i> 350:703-706	
C223	SENGUPTA et al., 2004, "Heat shock protein-mediated cross-presentation of exogenous HIV antigen on HLA Class I and Class II," <i>J. Immunol.</i> 173:1987-1993	
C224	SILVA et al., 1994, "A single mycobacterial protein (hsp 65) expressed by a transgenic antigen-presenting cell vaccinates mice against tuberculosis", <i>Immunology</i> 82(2):244-8	
C225	SINGH, 1997, "Neuroautoimmunity: pathogenic implications for Alzheimer's disease," <i>Gerontology</i> 43:79-94	
C224	SMORODIN et al., 1991, "The complex of $\alpha$ -2 Macroglobulin with CD2 in the Plasma of Gastric Carcinoma Patients." <i>Scand J. Immunol</i> 33:699-706	
C227	SORGER and PELHAM, 1987, "The glucose-regulated protein grp94 is related to heat shock protein hsp90", <i>J. Mol. Biol.</i> 194(2):341-4	
C228	SOTGIU et al., 1998, "Genetic susceptibility to multiple sclerosis in Sardinians: an immunological study," <i>Acta. Neurol. Scand.</i> 98(5):314-7	
C224	SPARKS et al., 1976, "Immunology and adjuvant chemoimmunotherapy of breast cancer," <i>Arch. Surg.</i> 111:1057-1062	
C230	SPERO et al., 1980, "Plasma Exchange in Preparation of Mild Factor IX Deficient Hemophiliacs for Surgical Procedures," 19-22	
C231	SRIVASTAVA and HEIKE, 1986, "Tumor-specific immunogenicity of stress-induced proteins: Convergence of two evolutionary pathways of antigen presentation?", <i>Seminars in Immunology</i> 3:57-64	
C232	SRIVASTAVA and OLD (1989) "Gp96 Molecules: Recognition Elements in Tumor Immunity", <i>Human Tumor Antigens and Specific Tumor Therapy</i> , pages 63-71	
C233	SRIVASTAVA and UDONO, 1994, "Heat shock protein-peptide complexes in cancer immunotherapy" <i>Curr. Opin. Immunol.</i> 6:728	
C234	SRIVASTAVA et al. (1990) "Immunization with Soluble Gp96 Antigens Elicits Tumor-Specific Cellular Immunity:, Cellular Immunity and the Immunotherapy of Cancer, pages 307-314	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT	
	Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

C235	SRIVASTAVA et al., 1984, "The Serologically Unique Cell Surface Antigen of Zajdela Ascitic Hepatoma is also its Tumor-Associated Transplantation Antigen", <i>Int. J. Cancer</i> 33:417-422	
C236	SRIVASTAVA et al., 1987, "5'-structural analysis of genes encoding polymorphic antigens of chemically induced tumors." <i>Proc. Natl. Acad. Sci USA</i> 84(11):3807-3811	
C237	SRIVASTAVA et al., 1988, "Individually distinct transplantation antigens of chemically induced mouse tumors," <i>Immunol. Today</i> 9:78-83	
C238	SRIVASTAVA et al., 1989, "Identification of a Human Homologue of the Murine Tumor Rejection Antigen GP96," <i>Cancer Res.</i> 49:1341-1343	
C239	SRIVASTAVA et al., 1991, "Protein Tumor Antigens", <i>Curr. Opin. Immunol.</i> 3:654-658	
C240	SRIVASTAVA et al., 1993, "Evidence for peptide-chaperoning by the endoplasmic reticular heat shock protein GP96: Implications for vaccination against cancer and infectious diseases", <i>J Cell Biochem Suppl</i> 17D:94 (Abstract NZ014)	
C241	SRIVASTAVA et al., 1998, "Heat shock proteins come of age: primitive functions acquire new roles in an adaptive world", <i>Immunity</i> 8(6):657-65	
C242	SRIVASTAVA PK, 1994, "Heat shock proteins in immune response to cancer: the Fourth Paradigm", <i>Experientia.</i> (11-12):1054-60	
C243	SRIVASTAVA, 1993, "Peptide-Binding Heat Shock Proteins in the Endoplasmic Reticulum: Role in Immune Response to Cancer and in Antigen Presentation," <i>Adv. Cancer Res.</i> 62:153-177	
C244	SRIVASTAVA, 2002, "Roles of heat-shock proteins in innate and adaptive immunity," <i>Nature Rev. Immunol.</i> 2(3): 185-194	
C245	STACK et al., 1982, "Autologous x-irradiated tumour cells and percutaneous BCG in operable lung cancer," <i>Thorax</i> 37(8):588-593	
C246	STEINMAN, L., 2001, "Myelin-specific CD8+ T cells in the pathogenesis of experimental allergic encephalitis and multiple sclerosis," <i>J. Exp. Med.</i> 194:F27-F30	
C247	STENMAN et al., 1991, "A complex between prostate-specific antigen and alpha 1-antichymotrypsin is the major form of prostate-specific antigen in serum of patients with prostatic cancer: assay of the complex improves clinical sensitivity for cancer," <i>Cancer Res.</i> 51(1):222-6	
C248	STEVENSON, 1999, "DNA vaccines against cancer: from genes to therapy," <i>Ann. Oncol.</i> 10:1413-8 Review	
C249	SUBBARAO et al., 1992, "A General Overview of Viral Vaccine Development," <i>Genetically Engineered Vaccines</i> 327:51-57	
C250	SUZUE et al., 1997, "Heat shock fusion proteins as vehicles for antigen delivery into the major histocompatibility complex class I presentation pathway," <i>Proc. Natl. Acad. Sci. USA</i> 94(24):13146-51	
C251	SUZUE K., Young R.A., 1996, "Heat shock proteins as immunological carriers and vaccines. in: Stress-Inducible Cellular Responses" (U. Feige, R. I. Morimoto, I. Yahara, B. S. Polla, eds.), Birkhauser/Springer, 77: 451-465	
C252	SUZUE K., Young R.A., 1996, "Adjuvant-free hsp70 fusion protein system elicits humoral and cellular immune responses to HIV-1" p24. <i>J Immunol.</i> 156(2):873-9	
C253	TAILOR et al., 1990, "Nucleotide Sequence Of Human Prostatic Acid Phosphatase Determined From A Full-Length cDNA Clone." <i>Nucl. Acids Res.</i> 18:4928 (1990)	
C254	TAIT, BD, 1990, "Genetic susceptibility to type I diabetes: a review," <i>J. Autoimmun.</i> 3 Suppl. 1:3-11	
C255	THE MERCK MANUAL of Diagnosis and Therapy, 1999, Beers and Berkow eds., Merck Research Laboratories, Whitehouse Station N.J., pp. 1871 and 1872	

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

C256	THOMAS et al., 1982, "Molecular and Cellular Effects of Heat Shock and Related Treatments of Mammalian Tissue-Culture Cells", <i>Cold Springs Harbor Symp Quant Biol</i> 46:985-996	
C257	TODRYK et al., 1999, "Heat shock protein 70 induced during tumor cell killing induces Th1 cytokines and targets immature dendritic cell precursors to enhance antigen uptake," <i>J. Immunol.</i> 163:1398-1408	
C258	TWINING et al., 1977, "Large scale separation of protease inhibitors from malignant human breast tissue," <i>Mol. Cell. Biochem.</i> 18(2-3):101-7	
C259	UDONO et al., 1994, "Comparison of Tumor-Specific Immunogenicities of Stress-Induced Proteins gp96, hsp90, and hsp70," <i>J. Immunol.</i> , 152(11):5398-5403	
C260	UDONO, 1993, "Heat shock proteins HSP70, HSP90 and GP96 elicit tumor specific immunity to the tumors from which they are isolated", <i>J. Cell. Biochem. Suppl.</i> 17D:113 (Abstract NZ225)	
C261	ULLRICH et al., 1986, "A mouse tumor-specific transplantation antigen is a heat shock-related protein," <i>Proc. Natl. Acad. Sci. USA</i> 83(10):3121-3125	
C262	URBANIAK AND ROBINSON, 1990, "ABC of transfusion. Therapeutic apheresis," <i>BMJ</i> 300(6725):662-5 Review	
C263	VAAGE, 1968 "Nonvirus-Associated Antigens In Virus-Induced Mouse Mammary Tumors." <i>Cancer Res.</i> 28:2477-2483	
C264	VANBUSKIRK et al., 1989, "Peptide binding protein having a role in antigen presentation is a member of the hsp70 heat shock family", <i>J. Exp. Med.</i> 170:1799-1809	
C265	VIJAYASARADHI et al., 1990 "The Melanoma Antigen gp75 Is The Human Homologue Of The Mouse b (Brown) Locus Gene Product." <i>J. Exp. Med.</i> 171:1375-1380	
C266	WALLNY et al., 1992, "Gene transfer experiments imply instructive role of major histocompatibility complex class I molecules in cellular peptide processing". <i>Eur. J. Immunol</i> 22:655-659	
C267	WANG et al., 2001, "Characterization of heat shock protein 110 and glucose-regulated protein 170 as cancer vaccines and the effect of fever-range hyperthermia on vaccine activity," <i>J. Immunol.</i> 166(1):490-497	
C268	WARSHAWAKY et al., 1993, "Identification of domains in the 39-kDa protein that inhibit the binding of ligands to the low density lipoprotein receptor-related protein," <i>J. Biol. Chem.</i> 268(29):22046-22054.	
C269	WEINER et al., 1980, "Plasmapheresis in multiple sclerosis: preliminary study," <i>Neurology</i> 30: 1029-33	
C270	WEINER et al., 2002, "Inflammation and therapeutic vaccination in CNS diseases," <i>Nature</i> 420:879-884	
C271	WELCH et al., 1982, "Purification of the Major Mammalian Heat Shock Proteins", <i>J. Biol. Chem.</i> 257:14949-14959	
C272	WELCH et al., 1985, "Rapid Purification of Mammalian 70,000-Dalton Stress Proteins: Affinity of the Proteins for Nucleotides", <i>Mol. Cell. Biol.</i> 5:1229-1237	
C273	WELCH et al., 1995, "Morphological study of the mammalian stress response: characterization of changes in cytoplasmic organelles, cytoskeleton, and nucleoli, and appearance of intranuclear actin filaments in rat fibroblasts after heat-shock treatment," <i>J. Cell. Biol.</i> 101:1198-1211	
C274	WELCH, 1993, "How Cells Respond to Stress," <i>Scientific American</i> 268(5):56-64	
C276	WILLNOW et al., 1996, "The low-density-lipoprotein receptor-related protein (LRP) is processed by furin in vivo and in vitro." <i>The Biochemical Journal. England</i> 313:71-76	
C276	WONG et al., 1991, "Susceptibility to type I diabetes in women is associated with the CD3 epsilon locus on chromosome 11," <i>Clin. Exp. Immunol.</i> 83(1):69-73	
C277	XIAO et al., 1995, "Characterization of hormonogenic sites in an N-terminal, cyanogen bromide fragment of human thyroglobulin." <i>Arch Biochem Biophys.</i> 20:320(1):96-105	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE June 4, 2001	ART UNIT 1643

NON PATENT LITERATURE DOCUMENTS		
	C278	YAMAUCHI et al., 2000, "Oral administration of bovine lactoferrin for treatment of tinea pedis. A placebo-controlled, double-blind study." <i>Mycoses</i> .43(5):197-202.
	C279	YANG et al., 1999, "Murine dendritic cells transfected with human GP100 elicit both antigen-specific CD8+ and CD4+ T-cell responses and are more effective than DNA vaccines at generating anti-tumor immunity," <i>Int. J. Cancer</i> 83:532-540
	C280	YEDAVELLI et al., 1999, "Preventive and therapeutic effect of tumor derived heat shock protein, gp96, in an experimental prostate cancer model" <i>Int. J. Mol. Med.</i> 3:243
	C281	YU et al., 1991, "Sequence Analysis of Peptides Bound to MHC Class II Molecules", <i>Nature</i> 353:622-627
	C282	ZIMECKI et al., 1998, "Immunoregulatory effects of a nutritional preparation containing bovine lactoferrin taken orally by healthy individuals." <i>Arch Immunol Ther Exp (Warsz)</i> . 46(4):231-40.
	C283	ZIMECKI et al., 1999, "Lactoferrin increases the output of neutrophil precursors and attenuates the spontaneous production of TNF-alpha and IL-6 by peripheral blood cells." <i>Arch Immunol Ther Exp (Warsz)</i> . 47(2):113-8.

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<p><b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)</p> <p>NOV 08 2007</p>	ATTY. DOCKET NO. 8449-178-999	APPLICATION NO. 09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE June 4, 2001	ART UNIT 1643

### NON PATENT LITERATURE DOCUMENTS

C98	HINDS et al., 1990, "Mutant p53 DNA Clones from Human Colon Carcinomas Cooperate with ras in Transforming Primary Rat Cells: A Comparison of the "Hot Spot" Mutant Phenotypes" Cell Growth and Differentiation Vol. 1 571-580
C99	HOLLINSHEAD, 1988, "Immunotherapy," in: <i>Cancer: The Outlaw Cell</i> , LaFond, ed., American Chemical Society, Washington, DC pp. 237-250 (Chapter 14)
C100	HORN et al., 1995, "Analysis of the binding of Pro-urokinase and urokinase-plasminogen activator inhibitor-1 complex to the low density lipoprotein receptor-related protein using a Fab fragment selected from a phage-displayed Fab library", J. of Biol. Chem. 270 (20): 11770-11775.
C101	HORWITZ et al., 1995, Protective immunity against tuberculosis induced by vaccination with major extracellular proteins of <i>Mycobacterium tuberculosis</i> . Proc Natl Acad Sci U S A. 92(5):1530-4
C102	HOUGHTEN et al., 1991, "Generation and use of synthetic peptide combinatorial libraries for basic research and drug discovery," Science 354:84-86
C103	HUBBARD et al., 1992, "Immunization of mice with mycobacterial culture filtrate proteins," Clin. Exp. Immunol. 87(1):94-8
C104	HUGHES et al., 1970, "A Study In Clinical Cancer Immunotherapy", <i>Cancer</i> , 26:269-278
C105	HUGHES et al., 1981, "Characterization of plasma membrane proteins identified by monoclonal antibodies", J. of Biol. Chem. 256(2): 664-671.
C106	HUMPHREY et al., 1984, "Adjuvant immunotherapy for melanoma," J. Surg. Concol. 25:303-305
C107	HUNTER, N. et al., 1991, "Suppression of experimental allergic encephalomyelitis by alpha(2)-macroglobulin," Immunology 73:58-63
C108	ISAACS et al., 1988, "Use of anti-idiotypic antibodies to establish that monoclonal antibody 7H11D6 binds to the alpha2-macroglobulin receptor recognition site", J. Biol. Chem. 263(14): 6709-6714.
C109	ISHII et al., 1999, " Isolation of MHC class I-restricted tumor antigen peptide and its precursors associated with heat shock proteins hsp70, hsp90, and gp96", J Immunol. 162(3):1303-9
C110	ISRAELI et al., 1993, "Molecular Cloning Of A Complementary DNA Encoding A Prostate-Specific Membrane Antigen." <i>Cancer Res.</i> 53:227-230
C111	JAIN et al., 1994, "Barriers to drug delivery in solid tumors." Sc Am 171(1):58-65
C112	JAKOB et al., 1993, "Small Heat Shock Proteins Are Molecular Chaperones", <i>J. Biol. Chem.</i> 268:1517-1520
C113	JAMES, K., 1980, "Alpha (2) macroglobulin and its possible importance in immune systems," Trends in Biol. Sci. p.43-47
C114	JANETZKI et al., 2000, "Immunization of cancer patients with autologous cancer-derived heat shock protein gp96 preparations: a pilot study" <i>Int. J. of Cancer</i> 88:232-238
C115	JANEWAY, Travers, Walport, and Shlomchick, 2001, Immunobiology, 5th ed., Garland Publishing, New York (Part V, Sections 13-1 to 13-15)
C116	JARDETZKY et al., 1991, "Identification of Self Peptides Bound to Purified HLA-B27", <i>Nature</i> 353:326-329
C117	JINDAL et al., 1989, "Primary structure of a human mitochondrial protein homologous to the bacterial and plant chaperonins and to the 65-kilodalton mycobacterial antigen. Mol Cell Biol. 9(5):2279-83
C118	JOCHAM et al., 2004, "Adjuvant Autologous Renal Tumour Cell Vaccine and Risk of Tumour Progression in Patients with Renal-Cell Carcinoma After Radical Nephrectomy: Phase III, Randomised Controlled Trial." <i>The Lancet</i> , Vol 363:594-599

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

LIST OF REFERENCES CITED BY APPLICANT (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT	
	Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

## NON PATENT LITERATURE DOCUMENTS

	C119	KATSANIS et al., 2000, "Augmentation of Tumor Lysate Immunogenicity by enrichment of Chaperone Proteins Using Free Solution Isoelectric Focusing (FS-IEF)" <i>Keystone Symposia on Cellular Immunity and Immunotherapy of Cancer</i> , abstract 431	
	C120	KATSUTANI et al., 1992, "Immunogenic properties of structurally modified human tissue plasminogen activators in chimpanzees and mice." <i>Fundam Appl Toxicol.</i> 19(4):555-62.	
	C121	KIM et al., 1998, "A new low density lipoprotein receptor related protein, LRP5, is expressed in hepatocytes and adrenal cortex, and recognized apolipoprotein E", <i>J. Biochem.</i> 124: 1072-1076.	
	C122	KIMBER et al., 2002, "Lactoferrin: influences on langerhans cells, epidermal cytokines, and cutaneous inflammation." <i>Biochem Cell Biol.</i> 2002;80(1):103-7.	
	C123	KOJIMA et al., 2002, "Combination therapy of tumor-derived gp96 and GM-CSF or IL-12-gene transduced tumor cells in the control of LLC tumor," <i>AACR 93<sup>rd</sup> Annual Meeting</i> , Vol. 43, Abstract #5516	
	C124	KOL et al., 2000, "Cutting edge: heat shock protein (HSP)60 activates the innate immune response: CD14 is an essential receptor for HSP60 activation of mononuclear cells", <i>J Immunol.</i> 164(1):13-17	
	C125	KOO, 1982, "Characterization of growth-inhibitory activities associated with an alpha-macroglobulin of mice," <i>Cancer Res.</i> 42(5):1788-97	
	C126	KORNFELD et al., 1980, "Plasmapheresis in Myasthenia Gravis," <i>Plasma Therapy</i> , 2(3): 127-133	
	C127	KRIPKE, 1974 "Antigenicity Of Murine Skin Tumors Induced By Ultraviolet Light." <i>J. Natl. Cancer Inst.</i> 53:1333-1336	
	C128	KRISTENSEN et al., 1990, "Evidence that the newly cloned low-density-lipoprotein receptor related protein (LRP) is the alpha 2-macroglobulin receptor", <i>FEBS Lett.</i> 276(1-2):151-5	
	C129	KUHLMANN et al., 1997, "Drug Research: from the idea to the product," <i>International Journal of Pharmacology and Therapeutics</i> 35:541-552	
	C130	LAKEY et al., 1987, "Identification of a peptide binding protein that plays a role in antigen presentation", <i>Proc. Natl. Acad. Sci. USA</i> 84:1659-1663	
	C131	LANZAVECCHIA, 1993, "Identifying Strategies for Immune Intervention", <i>Science</i> 260:937-944	
	C132	LÉVY, 1991, "ATP is Required for In Vitro Assembly of MHC Class I Antigens but Not for Transfer of Peptides across the ER Membrane", <i>Cell</i> 67:265-274	
	C133	LI and SRIVASTAVA, 1993, "Tumor rejection antigen gp96/grp94 is an ATPase: Implications for protein folding and antigen presentation", <i>EMBO J.</i> 12(8):3143-3151	
	C134	LIVINGSTON et al. 1985., "Serological Response of Melanoma Patients to Vaccines Prepared from VSV Lysates of Autologous and Allogeneic Cultured Melanoma Cells." <i>Cancer</i> , 55:713-720	
	C135	LODISH et al., <i>Molecular Cell Biology</i> , ch. 17.3 "Overview of the Secretory Pathway". pp 691-696, W.H. Freeman and Company 2000	
	C136	LUESCHER et al., 1991, "Specific Binding of Antigenic Peptides to Cell-associated MHC Class I Molecules", <i>Nature</i> 351:72-77	
	C137	LUKACS et al., 1993, "Tumor cells transfected with a bacterial heat-shock gene lose tumorigenicity and induce protection against tumors", <i>J. Exp. Med.</i> 178:343-348	
	C138	LUSSOW et al., 1991, "Mycobacterial heat-shock proteins as carrier molecules", <i>Eur J Immunol.</i> 21(10):2297-302	
	C139	MADDEN et al., 1991, "The Structure of HLA-B27 Reveals Nonamer Self-peptides Bound in an Extended Conformation", <i>Nature</i> 353:321-325	

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

**LIST OF REFERENCES CITED BY APPLICANT**  
(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**NON PATENT LITERATURE DOCUMENTS**

C140	MAKI (1991) "The Human Homologue of the Mouse Tumor Rejection Antigen GP96", Ph.D. thesis, Cornell University
C141	MARTIN et al., 1986, "Role of Murine Tumor Models in Cancer Treatment Research", Cancer Research 46:2189-2192
C142	MATSUTAKE et al., 2001, "The immunoprotective MHC II epitope of a chemically induced tumor harbors a unique mutation in a ribosomal protein," PNAS 98(7):3992-3997
C143	MELCHER et al., 1998, "Tumor immunogenicity is determined by the mechanism of cell death via induction of heat shock protein expression", Nat. Med. 5:581-7
C144	MELIEF et al., 1992, "Lessons from T Cell Responses to Virus Induced Tumours for Cancer Eradication in General", Career Surveys 13:81-99
C145	MELNICK, 1985, "Virus Vaccines: An Overview", Proceedings of the First Annual Southwest Foundation for Biomedical Research International Symposium, Houston, Texas, 8-10 November 1984, American Society for Microbiology pp. 1-13
C146	MENORET and CHANDAWARKAR, 1998, "Heat-shock protein-based anticancer immunotherapy: an idea whose time has come" Semin. in Oncology 25:654
C147	MENORET et al., 1995, "Co-segregation of tumor immunogenicity with expression of inducible but not constitutive hsp70 in rat colon carcinomas," J. Immunol. 155:740-7
C148	MILLWARD AND HOELTGE, 1982, "The Historical Development of Automated Hemapheresis", J. of Clin. Apheresis 1: 25-32
C149	MIZZEN et al., 1998, "Immune responses to stress proteins: applications to infectious disease and cancer," Biotherapy 10:173-185
C150	MOESTRUP et al., 1990, "Immunocytochemical identification of the human alpha 2-macroglobulin receptor in monocytes and fibroblasts: monoclonal antibodies define the receptor as a monocyte differentiation antigen", Exper. Cell Res. 190: 195-203.
C151	MOESTRUP et al., 1991, "Analysis of Ligand Recognition by the purified alpha-2M- macroglobulin receptor (low density lipoprotein receptor-related protein). J. Biol. Chem. 266(21):14011-14017.
C152	MOROI et al., 2000, "Induction of Cellular Immunity by Immunization with Novel Hybrid Peptides Complexed to Heat Shock PProtein 70." Proc. Natl. Acad. Sci. 97(7):3485-3490
C153	MSNBC News Services, 2000, "Mixed Results on new cancer drug."
C154	MULÉ et al., 1984, "Adoptive Immunotherapy of Established Pulmonary Metastases with LAK Cells and Recombinant Interleukin-2", Science 225:1487-1489
C155	MUNRO et al., 1986, "An Hsp70-like protein in the ER: identity with the 78 kd glucose-regulated protein and immunoglobulin heavy chain binding protein", Cell 46(2):291-300
C156	MURRAY et al., 1977 "Viral Oncolysate in the Management of Malignant Melanoma II, Clinical Studies." Cancer 40:680-686
C157	NAIR et al., 1977 "Antigen-Presenting Cells Pulsed With Unfractionated Tumor-Derived Peptides Are Potent Tumor Vaccines." Eur. J. Immunol. 27:589-597
C158	NAIR et al., 1999, "Calreticulin displays in vivo peptide-binding activity and can elicit CTL responses against bound peptides" J. Immunol. 162:6426
C159	NATALI et al., 1987 "Immunohistochemical Detection Of Antigen In Human Primary And Metastatic Melanomas By The Monoclonal Antibody 140.240 And Its Possible Prognostic Significance." Cancer, 59:55-63

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

### NON PATENT LITERATURE DOCUMENTS

C160	NIELAND et al., 1996, "Isolation of an immunodominant viral peptide that is endogenously bound to the stress protein GP96/GRP94", Proc. Natl. Acad. Sci. USA 93:6135-6139
C161	NORRBY, 1985, "Summary," in: <i>Vaccines 85</i> , Lerner et al., eds., Cold Spring Harbor Laboratory, Cold Spring Harbor, NY pp. 387-394
C162	OETTGEN AND OLD, 1991 "The History Of Cancer Immunotherapy." In: <i>Introduction To The Biologic Therapy Of Cancer</i> , Devitta et al., Eds., Lippincott, Philadelphia, PA, pp.87-119 (Chapter 6)
C163	OFFICE ACTION mailed on 02/26/02 for U.S. Application No. 09/625,137 filed 07/25/00
C164	OFFICE ACTION mailed on 05/18/05 for U.S. Application No. 09/625,137 filed 07/25/00
C165	OFFICE ACTION mailed on 10/05/04 for U.S. Application No. 09/625,137 filed 07/25/00
C166	OFFICE ACTION mailed on 11/02/05 for U.S. Application No. 09/625,137 filed 07/25/00
C167	OFFICE ACTION mailed on 12/31/02 for U.S. Application No. 09/625,137 filed 07/25/00
C168	OFFICE ACTION mailed on 02/08/06 for U.S. Application No. 09/668,724 filed 09/22/00
C169	OFFICE ACTION mailed on 02/25/03 for U.S. Application No. 09/668,724 filed 09/22/00
C170	OFFICE ACTION mailed on 05/07/02 for U.S. Application No. 09/668,724 filed 09/22/00
C171	OFFICE ACTION mailed on 06/20/07 for U.S. Application No. 09/668,724 filed 09/22/00
C172	OFFICE ACTION mailed on 07/07/04 for U.S. Application No. 09/668,724 filed 09/22/00
C173	OFFICE ACTION mailed on 09/21/06 for U.S. Application No. 09/668,724 filed 09/22/00
C174	OFFICE ACTION mailed on 03/13/06 for U.S. Application No. 09/750,972 filed 12/28/00
C175	OFFICE ACTION mailed on 06/05/02 for U.S. Application No. 09/750,972 filed 12/28/00
C176	OFFICE ACTION mailed on 08/28/03 for U.S. Application No. 09/750,972 filed 12/28/00
C177	OFFICE ACTION mailed on 01/11/06 for U.S. Application No. 10/225,367 filed 08/20/02
C178	OFFICE ACTION mailed on 03/30/05 for U.S. Application No. 10/225,367 filed 08/20/02
C179	OFFICE ACTION mailed on 04/18/07 for U.S. Application No. 10/225,367 filed 08/20/02
C180	OFFICE ACTION mailed on 09/25/06 for U.S. Application No. 10/225,367 filed 08/20/02
C181	OFFICE ACTION mailed on 10/19/07 for U.S. Application No. 10/225,367 filed 08/20/02
C182	OFFICE ACTION mailed on 01/03/06 for U.S. Application No. 10/427,857 filed 05/01/03
C183	OFFICE ACTION mailed on 10/15/07 for U.S. Application No. 10/546,106 filed 10/11/05
C184	OFFICE ACTION mailed on 02/22/07 for U.S. Application No. 10/784,012 filed 02/20/04
C185	OFFICE ACTION mailed on 08/07/06 for U.S. Application No. 10/784,012 filed 02/20/04
C186	OFFICE ACTION mailed on 11/02/07 for U.S. Application No. 10/784,012 filed 02/20/04
C187	OHASHI et al., 2000, Cutting edge: heat shock protein 60 is a putative endogenous ligand of the toll-like receptor-4 complex. J. Immunol. 164:558-561
C188	OLD et al., 1962 "Part II. Antigens Of Tumor Cells. Antigenic Properties Of Chemically-Induced Tumors." <i>Ann. N.Y. Acad. Sci.</i> 101:80-106
C189	OPEKUN et al., 1999, "Novel therapies for Helicobacter pylori infection." <i>Aliment Pharmacol Ther.</i> 13(1):35-42.
C190	PAL P.G., et al., 1992, "Immunization with extracellular proteins of Mycobacterium tuberculosis induces cell-mediated immune responses and substantial protective immunity in a guinea pig model of pulmonary tuberculosis." <i>Infect Immun.</i> 60(11):4781-92

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**LIST OF REFERENCES CITED BY APPLICANT**  
(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**NON PATENT LITERATURE DOCUMENTS**

C191	PALLADINO et al., 1987, "Expression of shared tumor-specific antigen by two chemically induced BALB/c sarcomas", <i>Cancer Research</i> 47:5074-5079	
C192	PARDOLL, 2000, "Therapeutic vaccination for cancer", <i>Clin. Immunol.</i> 95(1 Pt 2): S44-62	
C193	PATTILLO, 1974 "Combination Chemotherapy-Immunotherapy Indirect Chemotherapy Sensitivity Testing and Specific and Non-Specific Immunostimulation." In: <i>Neoplasm Immunity: Theory and Application: Proceedings of a Chicago Symposium</i> , Crispen, Ed. ITR, Chicago, IL, pp. 189-204	
C194	PAUL, Ed., 1993 <i>Fundamental Immunology</i> , 3rd Edition, Raven Press, NY, p. 1158 and References 189-220 Cited On pp.1173-1174	
C195	PAUL. <i>Fundamental Immunology</i> . 1993 Third Edition, Raven Press, NY	
C196	PCT International Preliminary Examination Report mailed on 01/16/06 for Intl. Application No. PCT/US03/14390	
C197	PCT International Preliminary Examination Report mailed on 06/17/03 for Intl. Application No. PCT/US01/23098	
C198	PCT International Preliminary Examination Report mailed on 09/23/04 for Intl. Application No. PCT/US01/18041	
C199	PCT International Preliminary Examination Report mailed on 10/06/2005 for Intl. Application No. PCT/US02/26573	
C200	PCT International Preliminary Examination Report mailed on 10/11/06 for Intl. Application No. PCT/US2004/005110	
C201	PCT Written Opinion mailed on 10/11/06 for Intl. Application No. PCT/US2004/005110	
C202	PENG et al., 1997, "Purification of immunogenic heat shock protein 70-peptide complexes by ADP-affinity chromatography" <i>J. Immunol. Meth.</i> 204:13	
C203	PEREZ AND WALKER, 1989, "Isolation And Characterization Of A CcDNA Encoding The KS1/4 Epithelial Carcinoma Marker", <i>J. Immunol.</i> 142:3662-3667	
C204	PINEDA et al., 1994, "Applications of therapeutic apheresis," <i>Mayo Clin. Proc.</i> 69(9):893-4	
C205	PINHASI-KIMHI et al. 1986, "Specific interaction between the p53 cellular tumour antigen and major heat shock proteins", <i>Nature</i> Vol 320 (13) 182-184	
C206	PINILLA-Ibarz et al., 2000, "Vaccination of patients with chronic myelogenous leukemia with bcr-abl oncogene breakpoint fusion peptides generates specific immune responses," <i>Blood</i> 95(5):1781-1787	
C207	PREHN AND MAIN, 1957 "Immunity To Methylcholanthrene-Induced Sarcomas." <i>J. Natl. Cancer Inst.</i> 18:769-778.	
C208	PROUD, G. et al., 1979, "Blood transfusion and renal transplantation," <i>Br. J. Sur.</i> 66:678-82	
C209	RAPLEY, 1995, "The biotechnology and applications of antibody engineering," <i>Mol. Biotechnol.</i> 3(2):139-54	
C210	REED et al., 1990, "Low incidence of antibodies to recombinant human tissue-type plasminogen activator in treated patients." <i>Thromb Haemost.</i> 64(2):276-80.	
C211	REPMANN et al. 1997 "Adjuvant Therapy Of Renal Cell Carcinoma With Active-Specific-Immunotherapy (ASI) Using Autologous Tumor Vaccine." <i>Anticancer Res.</i> 17:2879-2882	
C212	REPORT of the AMA Panel on Therapeutic Plasmapheresis, Current Status of Therapeutic Plasmapheresis and Related Techniques, December 1984	
C213	ROGERS et al., 1981, "Some immunogenic acid biochemical properties of tumor-associated transplantation antigens (TATA) obtained in soluble form or solubilized from two methylcholanthrene-induced sarcomas, Meth A and CI-4," <i>Int. J. Cancer</i> 27:789-796	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO. <b>8449-178-999</b>	APPLICATION NO. <b>09/873,403</b>
	APPLICANT <b>Srivastava et al.</b>	
	FILING DATE <b>June 4, 2001</b>	ART UNIT <b>1643</b>

### NON PATENT LITERATURE DOCUMENTS

C214	ROTHMAN, 1989, "Polypeptide Chain Binding Proteins: Catalysts of Protein Folding and Related Processes in Cells", <i>Cell</i> 59:591-601	
C215	RÖTZSCHKE et al., 1990, "Isolation and Analysis of Naturally Processed Viral Peptides as Recognized by Cytotoxic T cells", <i>Nature</i> 348:248-251	
C216	ROTZSCHKE, 1990, "Characterization of Naturally Occurring Minor Histocompatibility Peptides including H-4 and H-Y" <i>Science</i> 249: 283-287	
C217	SALK et al., 1993, "A Strategy for Prophylactic Vaccination Against HIV", <i>Science</i> 260:1270-1272	
C218	SALLUSTO et al., 1994, "Efficient presentation of soluble antigen by cultured human dendritic cells is maintained by granulocyte/macrophage colony-stimulating factor plus interleukin 4 and downregulated by tumor necrosis factor alpha," <i>J. Exp. Med.</i> 179(4):1109-1118	
C219	SANO et al., 1987, "The augmentation of tumor-specific immunity using haptenic muramyl dipeptide (MDP) derivatives. II. Establishment of tumor-specific immunotherapy models utilizing MDP hapten-reactive helper T cell activity," <i>Cancer Immunol. Immunother.</i> 25(3):180-184	
C220	SAUTER et al., 2000, "Consequences of cell death: exposure to necrotic tumor cells, but not primary tissue cells or apoptotic cells, induces the maturation of immunostimulatory dendritic cells", <i>J. Exp. Med.</i> 191:423-434	
C223	SCHREIBER, 1989 "Tumor Immunology." In: <i>Fundamental Immunology</i> , 2nd Edition, Paul, ed. , pp: 923-955	
C222	SCHUMACHER et al., 1991, "Peptide Selection by MHC Class I Molecules", <i>Nature</i> 350:703-706	
C223	SENGUPTA et al., 2004, "Heat shock protein-mediated cross-presentation of exogenous HIV antigen on HLA Class I and Class II," <i>J. Immunol.</i> 173:1987-1993	
C223	SILVA et al., 1994, "A single mycobacterial protein (hsp 65) expressed by a transgenic antigen-presenting cell vaccinates mice against tuberculosis", <i>Immunology</i> 82(2):244-8	
C223	SINGH, 1997, "Neuroautoimmunity: pathogenic implications for Alzheimer's disease," <i>Gerontology</i> 43:79-94	
C226	SMORODIN et al., 1991, "The complex of $\alpha$ -2 Macroglobulin with CD2 in the Plasma of Gastric Carcinoma Patients." <i>Scand J. Immunol</i> 33:699-706	
C227	SORGER and PELHAM, 1987, "The glucose-regulated protein grp94 is related to heat shock protein hsp90", <i>J. Mol. Biol.</i> 194(2):341-4	
C223	SOTGIU et al., 1998, "Genetic susceptibility to multiple sclerosis in Sardinians: an immunological study," <i>Acta. Neurol. Scand.</i> 98(5):314-7	
C226	SPARKS et al., 1976, "Immunology and adjuvant chemioimmunotherapy of breast cancer," <i>Arch. Surg.</i> 111:1057-1062	
C230	SPERO et al., 1980, "Plasma Exchange in Preparation of Mild Factor IX Deficient Hemophiliacs for Surgical Procedures," 19-22	
C231	SRIVASTAVA and HEIKE, 1986, "Tumor-specific immunogenicity of stress-induced proteins: Convergence of two evolutionary pathways of antigen presentation?", <i>Seminars in Immunology</i> 3:57-64	
C232	SRIVASTAVA and OLD (1989) "Gp96 Molecules: Recognition Elements in Tumor Immunity", <i>Human Tumor Antigens and Specific Tumor Therapy</i> , pages 63-71	
C233	SRIVASTAVA and UDONO, 1994, "Heat shock protein-peptide complexes in cancer immunotherapy" <i>Curr. Opin. Immunol.</i> 6:728	
C234	SRIVASTAVA et al. (1990) "Immunization with Soluble Gp96 Antigens Elicits Tumor-Specific Cellular Immunity:, Cellular Immunity and the Immunotherapy of Cancer, pages 307-314	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>LIST OF REFERENCES CITED BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO. 8449-178-999	APPLICATION NO. 09/873,403
	APPLICANT Srivastava et al.	
	FILING DATE June 4, 2001	ART UNIT 1643

### NON PATENT LITERATURE DOCUMENTS

C235	SRIVASTAVA et al., 1984, "The Serologically Unique Cell Surface Antigen of Zajdela Ascitic Hepatoma is also its Tumor-Associated Transplantation Antigen", <i>Int. J. Cancer</i> 33:417-422
C236	SRIVASTAVA et al., 1987, "5'-structural analysis of genes encoding polymorphic antigens of chemically induced tumors." <i>Proc. Natl. Acad. Sci USA</i> 84(11):3807-3811
C237	SRIVASTAVA et al., 1988, "Individually distinct transplantation antigens of chemically induced mouse tumors," <i>Immunol. Today</i> 9:78-83
C238	SRIVASTAVA et al., 1989, "Identification of a Human Homologue of the Murine Tumor Rejection Antigen GP96," <i>Cancer Res.</i> 49:1341-1343
C239	SRIVASTAVA et al., 1991, "Protein Tumor Antigens", <i>Curr. Opin. Immunol.</i> 3:654-658
C240	SRIVASTAVA et al., 1993, "Evidence for peptide-chaperoning by the endoplasmic reticular heat shock protein GP96: Implications for vaccination against cancer and infectious diseases", <i>J Cell Biochem Suppl</i> 17D:94 (Abstract NZ014)
C241	SRIVASTAVA et al., 1998, "Heat shock proteins come of age: primitive functions acquire new roles in an adaptive world", <i>Immunity</i> 8(6):657-65
C242	SRIVASTAVA PK, 1994, "Heat shock proteins in immune response to cancer: the Fourth Paradigm", <i>Experientia</i> , (11-12):1054-60
C243	SRIVASTAVA, 1993, "Peptide-Binding Heat Shock Proteins in the Endoplasmic Reticulum: Role in Immune Response to Cancer and in Antigen Presentation," <i>Adv. Cancer Res.</i> 62:153-177
C244	SRIVASTAVA, 2002, "Roles of heat-shock proteins in innate and adaptive immunity," <i>Nature Rev. Immunol.</i> 2(3): 185-194
C246	STACK et al., 1982, "Autologous x-irradiated tumour cells and percutaneous BCG in operable lung cancer," <i>Thorax</i> 37(8):588-593
C246	STEINMAN, L., 2001, "Myelin-specific CD8+ T cells in the pathogenesis of experimental allergic encephalitis and multiple sclerosis," <i>J. Exp. Med.</i> 194:F27-F30
C247	STENMAN et al., 1991, "A complex between prostate-specific antigen and alpha 1-antichymotrypsin is the major form of prostate-specific antigen in serum of patients with prostatic cancer: assay of the complex improves clinical sensitivity for cancer," <i>Cancer Res.</i> 51(1):222-6
C248	STEVENSON, 1999, "DNA vaccines against cancer: from genes to therapy," <i>Ann. Oncol.</i> 10:1413-8 Review
C249	SUBBARAO et al., 1992, "A General Overview of Viral Vaccine Development," <i>Genetically Engineered Vaccines</i> 327:51-57
C250	SUZUE et al., 1997, "Heat shock fusion proteins as vehicles for antigen delivery into the major histocompatibility complex class I presentation pathway," <i>Proc. Natl. Acad. Sci. USA</i> 94(24):13146-51
C251	SUZUE K., Young R.A., 1996, "Heat shock proteins as immunological carriers and vaccines. in: Stress-Inducible Cellular Responses" (U. Feige, R. I. Morimoto, I. Yahara, B. S. Polla, eds.), Birkhauser/Springer, 77: 451-465
C252	SUZUE K., Young R.A., 1996, "Adjuvant-free hsp70 fusion protein system elicits humoral and cellular immune responses to HIV-1" p24. <i>J Immunol.</i> 156(2):873-9
C253	TAILOR et al., 1990, "Nucleotide Sequence Of Human Prostatic Acid Phosphatase Determined From A Full-Length cDNA Clone," <i>Nucl. Acids Res.</i> 18:4928 (1990)
C254	TAIT, BD, 1990, "Genetic susceptibility to type I diabetes: a review," <i>J. Autoimmun.</i> 3 Suppl. 1:3-11
C255	THE MERCK MANUAL of Diagnosis and Therapy, 1999, Beers and Berkow eds., Merck Research Laboratories, Whitehouse Station N.J., pp. 1871 and 1872

EXAMINER	DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

LIST OF REFERENCES CITED BY APPLICANT (Use several sheets if necessary)	ATTY. DOCKET NO.	APPLICATION NO.
	8449-178-999	09/873,403
	APPLICANT	
	Srivastava et al.	
	FILING DATE	ART UNIT
	June 4, 2001	1643

## NON PATENT LITERATURE DOCUMENTS

C256	THOMAS et al., 1982, "Molecular and Cellular Effects of Heat Shock and Related Treatments of Mammalian Tissue-Culture Cells", <i>Cold Springs Harbor Symp Quant Biol</i> 46:985-996	
C257	TODRYK et al., 1999, "Heat shock protein 70 induced during tumor cell killing induces Th1 cytokines and targets immature dendritic cell precursors to enhance antigen uptake," <i>J. Immunol.</i> 163:1398-1408	
C258	TWINING et al., 1977, "Large scale separation of protease inhibitors from malignant human breast tissue," <i>Mol. Cell. Biochem.</i> 18(2-3):101-7	
C259	UDONO et al., 1994, "Comparison of Tumor-Specific Immunogenicities of Stress-Induced Proteins gp96, hsp90, and hsp70," <i>J. Immunol.</i> , 152(11):5398-5403	
C260	UDONO, 1993, "Heat shock proteins HSP70, HSP90 and GP96 elicit tumor specific immunity to the tumors from which they are isolated", <i>J. Cell. Biochem. Suppl.</i> 17D:113 (Abstract NZ225)	
C261	ULLRICH et al., 1986, "A mouse tumor-specific transplantation antigen is a heat shock-related protein," <i>Proc. Natl. Acad. Sci. USA</i> 83(10):3121-3125	
C262	URBANIAK AND ROBINSON, 1990, "ABC of transfusion. Therapeutic apheresis," <i>BMJ</i> 300(6725):662-5 Review	
C263	VAAGE, 1968 "Nonvirus-Associated Antigens In Virus-Induced Mouse Mammary Tumors." <i>Cancer Res.</i> 28:2477-2483	
C264	VANBUSKIRK et al., 1989, "Peptide binding protein having a role in antigen presentation is a member of the hsp70 heat shock family", <i>J. Exp. Med.</i> 170:1799-1809	
C265	VIJAYASARADHI et al., 1990 "The Melanoma Antigen gp75 Is The Human Homologue Of The Mouse b (Brown) Locus Gene Product." <i>J. Exp. Med.</i> 171:1375-1380	
C266	WALLNY et al., 1992, "Gene transfer experiments imply instructive role of major histocompatibility complex class I molecules in cellular peptide processing". <i>Eur. J. Immunol</i> 22:655-659	
C267	WANG et al., 2001, "Characterization of heat shock protein 110 and glucose-regulated protein 170 as cancer vaccines and the effect of fever-range hyperthermia on vaccine activity," <i>J. Immunol.</i> 166(1):490-497	
C268	WARSHAWAKY et al., 1993, "Identification of domains in the 39-kDa protein that inhibit the binding of ligands to the low density lipoprotein receptor-related protein," <i>J. Biol. Chem.</i> 268(29):22046-22054.	
C269	WEINER et al., 1980, "Plasmapheresis in multiple sclerosis: preliminary study," <i>Neurology</i> 30: 1029-33	
C270	WEINER et al., 2002, "Inflammation and therapeutic vaccination in CNS diseases," <i>Nature</i> 420:879-884	
C271	WELCH et al., 1982, "Purification of the Major Mammalian Heat Shock Proteins", <i>J. Biol. Chem.</i> 257:14949-14959	
C272	WELCH et al., 1985, "Rapid Purification of Mammalian 70,000-Dalton Stress Proteins: Affinity of the Proteins for Nucleotides", <i>Mol. Cell. Biol.</i> 5:1229-1237	
C273	WELCH et al., 1995, "Morphological study of the mammalian stress response: characterization of changes in cytoplasmic organelles, cytoskeleton, and nucleoli, and appearance of intranuclear actin filaments in rat fibroblasts after heat-shock treatment," <i>J. Cell. Biol.</i> 101:1198-1211	
C274	WELCH, 1993, "How Cells Respond to Stress," <i>Scientific American</i> 268(5):56-64	
C275	WILLNOW et al., 1996, "The low-density-lipoprotein receptor-related protein (LRP) is processed by furin in vivo and in vitro." <i>The Biochemical Journal. England</i> 313:71-76	
C276	WONG et al., 1991, "Susceptibility to type I diabetes in women is associated with the CD3 epsilon locus on chromosome 11," <i>Clin. Exp. Immunol.</i> 83(1):69-73	
C277	XIAO et al., 1995, "Characterization of hormonogenic sites in an N-terminal, cyanogen bromide fragment of human thyroglobulin." <i>Arch Biochem Biophys.</i> 20:320(1):96-105	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**LIST OF REFERENCES CITED BY APPLICANT**  
(Use several sheets if necessary)

ATTY. DOCKET NO.

8449-178-999

APPLICATION NO.

09/873,403

APPLICANT

Srivastava et al.

FILING DATE

June 4, 2001

ART UNIT

1643

**NON PATENT LITERATURE DOCUMENTS**

C278	YAMAUCHI et al., 2000, "Oral administration of bovine lactoferrin for treatment of tinea pedis. A placebo-controlled, double-blind study." <i>Mycoses</i> .43(5):197-202.	
C279	YANG et al., 1999, "Murine dendritic cells transfected with human GPI00 elicit both antigen-specific CD8+ and CD4+ T-cell responses and are more effective than DNA vaccines at generating anti-tumor immunity," <i>Int. J. Cancer</i> 83:532-540	
C280	YEDAVELLI et al., 1999, "Preventive and therapeutic effect of tumor derived heat shock protein, gp96, in an experimental prostate cancer model" <i>Int. J. Mol. Med.</i> 3:243	
C281	YU et al., 1991, "Sequence Analysis of Peptides Bound to MHC Class II Molecules", <i>Nature</i> 353:622-627	
C282	ZIMECKI et al., 1998, "Immunoregulatory effects of a nutritional preparation containing bovine lactoferrin taken orally by healthy individuals." <i>Arch Immunol Ther Exp (Warsz)</i> . 46(4):231-40.	
C283	ZIMECKI et al., 1999, "Lactoferrin increases the output of neutrophil precursors and attenuates the spontaneous production of TNF-alpha and IL-6 by peripheral blood cells." <i>Arch Immunol Ther Exp (Warsz)</i> . 47(2):113-8.	

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.